



# TAMKEEN

West Bank and Gaza Civil Society and  
Democracy Strengthening Project

## Simplified Grants Manual

Version 2.03



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## ACRONYMS

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ADS	Automated Directory System
COP	Chief of Party
CSO	Civil Society Organization
CSS	Civil Society Specialist
DFA	Director of Finance and Administration
DFO	Director of Field Operations
IR	Intermediate Result
NGO	Nongovernmental Organization
SO	Strategic Objective
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
USAID	United States Agency for International Development

## SECTION 1.0

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# Introduction

## 1.1. Overview

Within the framework of USAID's policies and procedures for grants-making, as set forth in the Automated Directory System (ADS), the Tamkeen project (henceforth, Tamkeen) may award simplified-format grants to non-U.S. organizations in accordance with the guidance provided under Section 303.5.15 (*Grants to Non-U.S. Organizations*). This manual is divided into two broad sections that address the dual purposes of the manual as follows:

- The base document which provides civil society organizations (CSOs) in the West Bank/Gaza and Tamkeen team members with an overview of the simplified grants-making system.
- A supplement that contains annexes providing step-by-step guidance regarding the conceptualization, application, appraisal, implementation, monitoring and evaluation, and closeout policies and procedures for simplified grants. This part of the manual is directed primarily at CSOs that are applying for and/or currently implementing grants.

These grants are only issued within the context of USAID's regulatory conditions set forth throughout this manual. All interested CSOs should take into full consideration that the simplified grants mechanism places maximum emphasis on achieving *results* that can be measured by means of verifiable indicators. Simplified grants are therefore not appropriate for financing recurrent operational costs.

## 1.2. Roles and Definitions

*Applicant*—A West Bank or Gaza civil society organization applying for a Tamkeen grant.

*Chemonics International Inc.*—The U.S. consulting firm that holds the USAID contract for implementing and managing the Tamkeen project.

*Chief of Party (COP)*—The COP is the legal project representative of Chemonics International in the West Bank and Gaza, and in this capacity signs all Tamkeen grants. The COP has ultimate Tamkeen authority for all aspects of all grants.

*Civil Society Organization (CSO)*—A CSO is a legally constituted organization that is not part of the government or government structures. A CSO may be a private firm or an association, provided it works on a nonprofit basis with regard to a Tamkeen grant award.

*Civil Society Specialist (CSS)*—The CSS is Tamkeen's primary interface with a civil society organization. The specialist has *account manager* responsibility for his/her assigned CSOs (i.e., the CSS is *cognizant* for all CSOs in his/her assigned portfolio). The specialist is a CSO's first line of assistance and inquiry for all technical and routine administrative aspects of the grants-making process.

*Grantee*—A CSO that has been awarded a Tamkeen grant.

*Grants Committee*—The Grants Committee, made up of representatives from USAID, Chemonics, CARE, and AMIDEAST, meets routinely to consider grant applications and approve funding. Material modifications to existing grants must be approved by this committee. The composition of the committee may be modified by Tamkeen as the emerging needs of the project warrant.

*Project Officer*—The project officer is USAID’s cognizant technical representative for the Tamkeen project. The project officer chairs the Grants Committee and holds authority for technical and administrative review and approval on behalf of USAID.

*Director of Field Operations (DFO)*—The director of field operations supervises the activities of all CSSs and provides programmatic direction and guidance for grants-making.

*Director of Finance and Administration (DFA)*—The director of finance and administration is responsible for managing the overall administrative, financial, and regulatory aspects of all grants. In this capacity, the DFA is also considered the Grants Manager and/or Chemonics Agreement Officer for Tamkeen grants.

*USAID*—The United States Agency for International Development in the West Bank and Gaza.

## SECTION 2.0

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### Purpose of Simplified Grants

The purpose of simplified grants is to finance discrete results-oriented activities that strengthen the democracy and governance capabilities of CSOs in the West Bank and Gaza. In accordance with this purpose, simplified grants should be primarily in democracy and governance, or should incorporate elements of democracy and governance in activities in the following sectors: economic development, water and the environment, health, and education. **Activities that entail construction will not be considered.**

The following are examples of appropriate activities.

*Democracy and Governance.* A CSO may seek funding for a project that focuses on democracy and governance matters only, or one that combines democracy and governance with service-related activities. An example of the former might be a civic education project by a CSO to raise awareness of the Palestinian electoral system and the rights and responsibilities of citizens, and/or increase opportunities for marginalized groups such as women and the disabled to become involved in debate about, clarification of, and policy formulation concerning the electoral process. Activities might include information dissemination through handouts, posters, voting guides, cassettes and audio transcripts, and television programs. An example of a project combining democracy and governance with service-related activities might be an agricultural sector CSO conducting a participatory policy analysis of agricultural policies adopted by the Palestinian Authority and/or other service providers and disseminating the results to concerned authorities and policy makers. Such an analysis would help policy makers and agricultural service providers adopt sound agricultural policies that respond to the real needs of Palestinian farmers, defend the rights of farmers, and improve the performance and productivity of the Palestinian agricultural sector. Project results might include conducting introductory/appreciation meetings, followed by advocacy workshops; holding meetings with decision makers and representatives of public sector institutions; and producing and disseminating a document summarizing the findings and recommendations of all activities to be used as a reference point for both policy makers and agricultural service providers in adopting sound agricultural policies and programs.

*Economic Development.* A CSO working in economic development may apply for funding to critically assess the performance of public and/or private institutions so as to outline specific actions that need to be undertaken to prevent further deterioration of the Palestinian economy. Through research and advocacy activities, such a project would initiate greater and more effective discussions on policy issues and guidelines. Another example would be to conduct sectoral economic studies to assess the current status of various sectors and evaluate their development prospects. As part of these studies, a CSO might organize brainstorming and advocacy workshops, conduct sectoral assessment studies and publish assessment reports, hold meetings with senior public officials, and disseminate information through press reviews and newsletters.

*Water and the Environment.* A CSO may apply for funding to examine and improve environmental/health practices or conditions in local communities by promoting healthier environmental knowledge, attitudes, and behaviors among various population groups. Such a project might involve forming advocacy groups within schools and other community organizations to address issues related to environmental and health practices. Targeted results might include producing and disseminating a report on key environmental conditions, behaviors, and practices in the targeted communities; designing and conducting a training course on environmental education; producing and distributing educational materials on specific environmental issues of concern to targeted communities; and organizing information dissemination and advocacy workshops targeting local communities and concerned public and private sector institutions.

*Health.* An organization providing health services to marginalized groups such as rural women, the urban poor, the disabled, or Bedouin communities could apply for a grant combining service provision with information analysis and dissemination, networking, and/or advocacy of how to address the root causes of these problems. For example, a CSO may seek funding for a project that educates women on the risks of high blood pressure during childbearing age and pregnancy, in cooperation with women's associations, maternity centers, and other organizations. Project results might include forming a coordinating committee to manage the awareness campaign with the participation of the Ministry of Health, UNRWA, and concerned CSOs; conducting workshops for women on the risks of high blood pressure; providing blood pressure tests for women; and disseminating flyers, brochures, and posters on the risks of high blood pressure.

*Education.* For example, a CSO promoting theater as an educational art form could conduct an activity that seeks to open a civil dialogue to discuss, analyze, and solve the daily problems facing youths in general and young women in particular. This would be carried out through interactive theater performances combining education with entertainment. The project could expand its outreach to young women and men by conducting theater performances in secondary schools and at CSOs working with youths. By addressing issues of interest to young people, these activities would encourage female and male students to actively express their viewpoints and share experiences, while strengthening networks between participating CSOs and schools. Project results might include theater shows followed by open discussions and information dissemination to a large number of people and concerned decision makers.

## SECTION 3.0

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### Eligibility Requirements

#### 3.1. Eligibility Requirements for Grantees

##### 3.1.1. Eligible Types of Civil Society Organizations

*Tertiary CSOs* are defined as organizations that work at the national level, or at least at a regional level (e.g. throughout the West Bank and Gaza, or throughout either of those areas). Tertiary organizations generally provide services, capacity building, and/or a network to intermediate and primary CSOs. They may be involved in direct service provision, but it is only part of their mandate and activities. An example of a tertiary organization is a national association of women's committees.

*Intermediate CSOs* are defined as organizations that provide services to a constituency, perhaps at a regional level, *and*, as part of their work, coordinate with, mentor, or support other CSOs. An example of an intermediary organization is a health provider with a number of branch offices in the region that provides health services to the public and coordinates activities with other CSOs.

*Primary CSOs* are small organizations that provide defined services in their immediate community. A community-based youth recreation center is an example of a primary CSO.

For purposes of Tamkeen grants, local councils [*majaalis mahalliyya*] are not considered civil society organizations

##### 3.1.2. Conditions of Eligibility

- A. Grantees must be an organization as defined in Section 3.1.1.
- B. Grantees must be in good standing with the Palestinian Authority, and in compliance with all applicable civil and fiscal regulations, including but not limited to the Palestinian NGOs Law.
- C. Grantees must display sound management in the form of financial, administrative, and technical policies and procedures that are in written format and present a system of internal controls that safeguard assets; protect against fraud, waste, and abuse; and support the achievement of program goals and objectives. An overview of grantee compliance requirements, as set forth in the U.S. government's OMB Circulars A-110, A-122, and A-133, can be found in Annex A. The Grantee must sign a *Recipient Certificate of Compliance* (found in Annex H of the Tamkeen Grants Manual).
- D. The proposed activity must respond to the simplified grants purpose as defined in Section 2.0.
- E. Sub-agreements are not permitted, i.e. the CSO must have full responsibility and accountability for grant activity implementation.
- F. Prior to grant negotiation, all applicants must be vetted with USAID with regard to the U.S. government's prohibition of transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism.
- G. Grantees must also be willing and able to certify the following:
  - a. They have not and will not provide support to any individuals and organizations associated with terrorism, in accordance with the terms of the *Certification Regarding*



*Terrorist Financing*, a copy of which can be found in Annex F of the Tamkeen Simplified Grants Manual Supplement.

- b. They have not or will not use U.S. Government funds for lobbying a U.S. Government official according to the terms of the *Certification Regarding Lobbying*, a copy of which can be found in Annex G of the Tamkeen Simplified Grants Manual Supplement.

### 3.2. Grant Proposal Evaluation Criteria

Grant applications will be submitted by CSOs to Tamkeen in the form of a Program Description (technical) and Grant Financial Plan (cost). Tamkeen staff review the applications and may provide advice, but ultimate authority to approve and fund a grant application rests with the Grants Committee.

Applications will be appraised on the basis of 100 possible points. The Program Description will be appraised on the basis of 70 total possible points; the Financial Plan will be analyzed for cost realism on the basis of 30 possible points. Unless otherwise noted in an official Tamkeen notification to CSOs, the relative weighting of the various sections of the *Grant Application* will be in accordance with the values below:

Appraisal Category	Maximum Points (100 total)
Grant Activity Objective	10 points
Results	20 points
Beneficiaries	10 points
Implementation Plan	20 points
Experience & Capability	10 points
Cost Realism	30 points
<b>Total Possible Points</b>	<b>100 points</b>

*Grant Objective* (10 points maximum)—The extent to which the stated grant objective supports or contributes to the overall Tamkeen simplified grants purpose, as defined in Section 2.0.

*Results* (20 points maximum)—The soundness and clarity of the linkage of results to the grant objective (10 points) and the viability of the verifiable indicators of achievement (10 points).

*Beneficiaries* (10 points maximum)—The viability and clarity of the relationship of beneficiaries to the results.

*Implementation Plan* (20 points maximum)—The plan will be appraised in terms of:

- Completeness and soundness
- Integration and scheduling of dependent tasks
- Assignment of responsibilities
- Identification of resources
- Viability of the proposed milestones of achievement

The grant activity implementation plan will be analyzed on two levels. On the macro level, the key word is cohesiveness: Do the various tasks of the plan work together and support each other in a logical, tight-knit way to achieve the overall grant objective? At the individual task level, the key word is balance: Is there a realistic, logical connection between what is to be done, who is to do it, the amount of time required, and the committed resources?

*Experience & Capability* (10 points)—The CSO's proven track record with implementing similar activities.

*Cost Realism* (30 points maximum)—The degree to which costs are allowable, allocable, and reasonable for the proposed tasks with reference to Tamkeen cost principles.

Note: The Grants Committee reserves the right to modify the relative weighting of appraisal criteria. Modifications will be announced in advance of a round of grant applications.

A minimum score of 70 points (out of 100 possible points) will be necessary before a grant application can be forwarded to the Grants Committee.

## SECTION 4.0

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# Award Parameters and Financial Requirements

## 4.1. Grant Funding Limitations

The total maximum amount of a Tamkeen grant, including all additional funding by means of *Modification*, may be no more than \$150,000. The minimum amount of a grant may be no less than \$5,000. Exceptions to the minimum may be made on a case-by-case basis with approval of the Grants Committee. The grantee will not be reimbursed for costs incurred in excess of the total amount obligated under the grant.

In accordance with ADS guidance, the following conditions also apply to all Tamkeen grants:

- All financing will be processed on a cost reimbursement basis in accordance with an agreed upon *Grant Financial Plan*, i.e. Tamkeen will not advance funds.
- All funding sources (Tamkeen, CSO, or third-party) must be identified and valued.
- All grants activity costs (direct or indirect) must be identified in the grant application.
- International airfares and indirect costs are not eligible for Tamkeen financing.
- Goods (e.g. equipment, furniture, etc) must meet applicable USAID local financing regulations, and no single item may have a useful shelf-life of one year or more and an acquisition cost greater than \$5,000.
- All costs submitted for reimbursement must be allowable, allocable, and reasonable per Tamkeen cost principles (based on the U.S. government's OMB Circular A-122).

## 4.2. Grant Duration and Award Restriction

From the date of the *Grant Agreement* until submission of the *Grantee Activity Completion Certificate*, no more than eighteen (18) months may elapse.

A grantee may not be awarded more than three (3) active simplified grants at any time, and will not be funded for more than a total value of \$450,000 in any 18-month period. Exceptions may be made on a case-by-case basis with approval of the Grants Committee. In addition, a grant is not officially completed until the *Grant Completion Certificate* has been submitted and accepted by the Grants Committee.

## 4.3. Grantee Cost-Share Contribution

There must be a cost-share element from the CSO, either in cash or in kind; the cost-share may be financed from CSO resources or from an approved third-party source.

Although there is no minimum amount, a contribution is required from the grantee. Contributions may be in kind or in cash. Contributions must be directly or indirectly allocable to the achievement of the grant objective. All contributions must be clearly identified and all assigned costs must be reasonable and in accordance with prevailing open market conditions. Third-party contributions are acceptable and may be considered part of the grantee contribution in part or whole. The nature and amount of this contribution will be clearly defined in the *Grant Application* and in the *Grant Agreement*.

#### 4.4. Audits, Surveys, and Voucher Verifications

With reference to USAID and Tamkeen requirements, all grantees are subject to the following audit, survey, and review actions, as applicable:

- A. Prior to issuing a grant award, Tamkeen makes a determination of CSO capacity to responsibly manage grant funds in accordance with grant award terms and conditions. If the CSO has an established relationship with Tamkeen, or with another USAID-financed project, the determination can take the form of a CSS desk review. In some cases, an on-site examination of administrative and financial systems and documentation, in conjunction with staff interviews, may be required. In other cases, Tamkeen may engage the services of an independent financial services or auditing firm to conduct a formal pre-award survey.
- B. From time to time, at its discretion, Tamkeen may request and conduct a voucher examination of all or a sample of transactions related to a grant.
- C. A grant award that expends USAID funds (including reimbursements) in excess of \$100,000 within one year is subject to an award-specific audit. The cost of this type of audit will be paid for by Tamkeen and/or USAID, outside the qualifying grant(s).
- D. A CSO that expends in excess of \$300,000 of U.S. government funds from all sources within one year (USAID and other U.S. government entities), and in excess of \$500,000 for all fiscal years ending after December 31, 2003, the CSO is subject to an OMB Circular A-133 organization-wide audit. The U.S. government entity with the largest portion of the funding will initiate the audit.

Further information regarding these requirements can be found in Annex A.

## SECTION 5

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# Elements of Tamkeen's Simplified Grants Program

## 5.1. System Design Tenets

The Tamkeen simplified grants management system has been designed with the following tenets in mind:

### 5.1.1. Grant Attributes

All Tamkeen grants must be:

- Results-oriented
- Technically sound
- Administratively complete
- Based on allowable, allocable, and reasonable costs

### 5.1.2. Emphasis

The system emphasizes:

- Simplicity
- Safeguards of accountability through appropriate controls
- Transparency
- Flexibility

### 5.1.3. Grantee Obligations

For a grant activity to be successful, the grantee must fully understand and respect:

- The essential relationship between the Tamkeen simplified grants purpose, the grant objective, and verifiable results
- The relationship between implementation plan tasks, milestones, and tranche payments
- The terms and conditions that control the grant
- The limitation of available Tamkeen funding and the need to use grant funds responsibly
- Compliance requirements as set forth in the terms and conditions of the award and as presented in the overview form in Annex A
- How the grant activity will be monitored and evaluated in terms of effectiveness (i.e., implementation, results, and achievement of objective) and fiscal accountability
- The consequences (either good or bad) resulting from evaluation

## 5.2. Essential Linkages and Relationships

The simplified grants management system is designed to integrate and reinforce the relationships and dependencies between:

- The Tamkeen simplified grant purpose
- The grant objective
- Verifiable results
- The grant implementation plan (tasks)
- Milestones

- The grant financial plan
- Tranche payments

The purpose of Tamkeen simplified grants is presented in Section 2.0. Each grant applicant is required to develop and present a grant objective. For each grant, there must be a clear, easy to understand relationship between the Tamkeen simplified grant purpose, the objective of the grant, and verifiable results. If the relationships do not exist, the activity does not contribute to the Tamkeen project and will not be funded.

### 5.2.1. Problem Analysis and Grant Objective

The objective of a Tamkeen grant is to improve the lives of beneficiaries. Before a grant objective can be stated, a problem analysis must be carried out.

*Problem Analysis.* A problem analysis accomplishes three things. First, it describes the situation or general environment surrounding the problem. This should be stated in terms of the location, the technical area (e.g., health), the facilities, the community, other related projects or donor-financed interventions, etc.

Second, it identifies the people targeted for help. This should be stated in terms of gender, age, economic level, education, etc. Third, it defines a negative condition that exists and explains why it exists—i.e., it identifies the cause of the negative condition.

The above three are combined to produce a problem statement that describes a situation, a targeted group of beneficiaries, and a negative condition that makes their lives difficult.

*Grant Objective.* The grant objective builds on the problem statement. A grant objective proposes:

- A positive change in the condition
- In the described situation
- That will make the lives of the beneficiaries better
- And that can be achieved by a Tamkeen simplified grant

### 5.2.2. Grant Result(s)

Results are the “products or services” of the grant activity that make positive change possible for the target population. There must be a clear, easy to understand relationship between the grant objective and the end result(s). Results contribute to and support the achievement of the objective. Results must be verifiable, which means they must be measurable. To be measured, a result must be defined in quantitative and qualitative terms that can be verified by the grantee, and if need be, someone other than the grantee. A result can be a training course, a report, a survey, a renovated facility, etc. When grant activity results are described in unambiguous terms, the grantee knows what it must strive to achieve, and Tamkeen knows what to expect for its support.

### 5.2.3. Tamkeen Performance Monitoring Plan

Tamkeen is required to gather, analyze, and report on the impact of grant activities with respect to USAID’s strategic framework. The Tamkeen project operates under USAID’s Strategic Objective (SO) No. 3: “More responsive and accountable governance.” Three Intermediate Results (IRs) are listed under this objective:

- Sub IR 3.1.1—Increased capacity of CSOs to participate in public discourse
- Sub IR 3.1.2—CSOs effectively aggregate and articulate citizen issues
- Sub IR 3.1.3—CSOs effectively disseminate information on public affairs to citizens

Annex C provides an overview of Tamkeen’s Performance Monitoring Plan methodology and its application. Section 2.0 lists the five sectoral areas in which Tamkeen funds grant activities. Within those five sectors, a democracy and governance grant has an unambiguous relationship to the SO and to one or more of the IRs. For the other four sectors, the relationship is often less pronounced. In any case, Tamkeen requires that all applicants: (i) establish a component within their activity design that addresses one or more of the IRs, and (ii) following the guidance in Annex C, track and report performance data to Tamkeen on a periodic basis.

### 5.2.5. Grant Activity Implementation Plan (Tasks)

The grant activity implementation plan should be task-driven. Each task must be:

- Complete and sound
- Integrated and scheduled with dependent tasks
- Assigned to a responsible party
- Defined in terms of resources required
- Concluded with a viable milestone of achievement

The development of discrete, stand-alone tasks compels the applicant to think through the grant activity in manageable, planned phases. Each task must contribute to the achievement of the grant objective. If a relationship between a task and the grant objective is not clear, then most likely the task is superfluous, misdirected, or inaccurately described. Tasks must be stated in terms of action verbs—i.e., *things that will be done*. The essential considerations for planning a task are discussed below:

- A. *Responsible Parties*—Responsibility must be assigned for each task in the implementation plan. This requires the CSO to objectively assess the capability of staff to implement a task rather than assuming that “someone will take care of it when the time comes.” All CSO staff involved with a grant activity must be free of real or apparent conflict of interest.
- B. *Grant Resources Required*—The CSO applies for grant funds because it lacks resources required to implement the activity. By identifying how grant resources will support individual tasks, the CSO can better rationalize the use and allocation of funds. It also provides a clearer picture as to what the CSO intends to do with the grant funds.
- C. *Non-Grant-Financed Resources Required*—In most cases, grant funds allow a CSO to leverage its existing resources in pursuit of the grant objective. Grant funding is most effective when combined with other existing resources to achieve an objective that would otherwise be out of reach of either Tamkeen or the grantee. Thus, these non-Tamkeen funded resources must be identified and evaluated for adequacy vis-à-vis the proposed task. If an applicant is willing to contribute office space, equipment, staff time, etc, the applicant’s contribution should be recognized. The applicant’s contribution must be realistically valued. Contributions from third parties are encouraged as these leverage Tamkeen resources and give other donors a stake in the success of the grant activity. However, if a party other than the applicant and Tamkeen is supporting the grant activity, the intent, role, and resource commitment (fiscal and otherwise) should be documented.
- D. *Scheduling*—Task scheduling should be analyzed from two aspects. First, for a given task, is the amount of time allocated adequate to get the job done properly? Secondly, does the overall scheduling of the task work in conjunction with the other listed tasks? All implementation plans should be supported by a simple bar chart that lists all identified tasks and plots their sequence of implementation.
- E. *Milestones*—Milestones serve two important purposes. First, they serve as predetermined, agreed-upon end-of-task status. A milestone can be the production of a physical output (e.g., a

delivered survey report), or the achievement of some sought-after condition or status (e.g., all participants arriving at a central training site by a specified date). It should be easy to understand the relationship between the milestone, the task description, and the grant objective. Second, selected milestones are the trigger mechanism whereby reimbursement tranches are released to the grantee. Milestones must be defined in terms that can be verified by someone other than the grantee. Milestones are important as they provide the project with both a *works in progress* evaluation tool and a fiscal control mechanism.

### 5.2.6. Grant Financial Plan

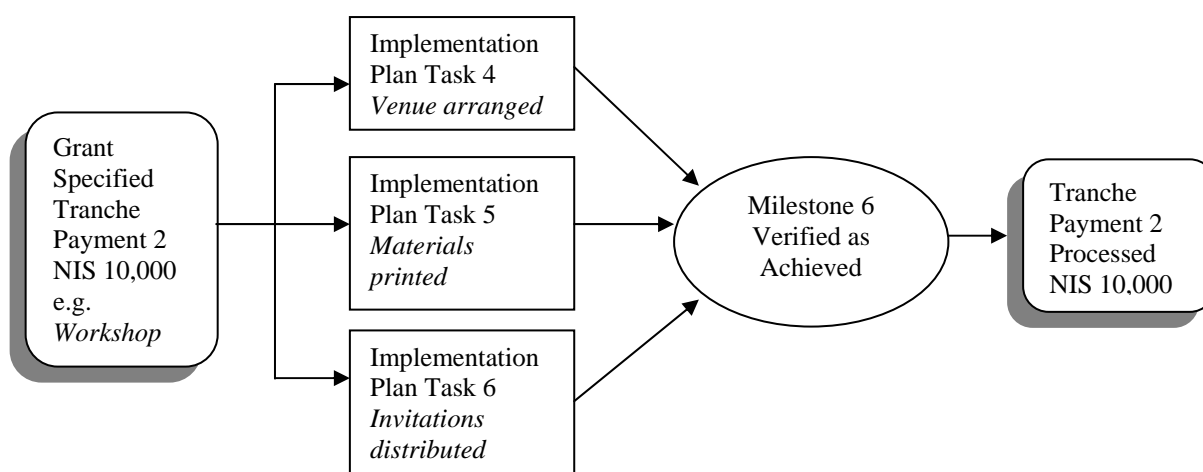
The standardized *Simplified Grant Financial Plan Summary Form* (see Supplement-Control Forms: Instructions and Templates, C) requires the grantee to:

- Budget discrete tasks using a standard line-item budget format
- Amalgamate tasks into natural groupings that relate to tranche payments
- Identify and agree upon “trigger” milestones that support reimbursement requests
- Identify funding sources and amounts in terms of discrete tasks

The financial plan format allows both the grantee and Tamkeen to analyze the activity budget in terms of traditional line-item costs and individual task pricing. Because each grantee must report usage of activity funds against this format (Tamkeen’s and other sources), it ensures a consistency of financial reporting across all simplified grants. The format facilitates financial analysis by cost categories and can indicate relative cost efficiencies (or inefficiencies) of a given grant activity. The standard format is a user-friendly fiscal control and reporting tool.

### 5.2.7. Tranche Payments

Tranche payments are linked to tasks and the achievement of an agreed-upon milestone. The amount of a tranche payment is determined by the tasks covered. This relationship is presented graphically below.



### 5.3. Key Assumptions

In addition, all applicants are required to identify key assumptions. Assumptions are judgment calls about events, policies, and conditions outside the applicant’s control that may have either a positive or negative impact upon the activity’s potential for success. For assumptions to be meaningful, they must be of appropriate relevance. Assumptions made about broad, sweeping conditions or about minute details are of little importance and indicate that the applicant does not fully understand the



fundamentals of good planning. For example, if an environmental CSO wants to gather and analyze information on heavy metals in West Bank streams, a key assumption would be that such information is readily available in reliable form. It is possible to have no assumptions listed for an activity, but in all cases, a *what-if analysis* should be thought through for each proposed grant activity. Assumptions must be presented in refined, final version. Persons or organizations having a significant influence over the impact of the assumptions should be identified, when possible.

#### **5.4. Grantee Capability Assessment**

The planning, implementation, and reporting procedures and policies of the simplified grants management system are not complex or cumbersome, but they do require that the applicant possess a certain degree of sophistication. Accordingly, a reference check—performed by the CSS and one other Tamkeen staff member—must be run on all applicants to determine two basic facts. First, does the applicant have the capability to implement the activity to a successful conclusion and meet Tamkeen’s reporting and control standards? Second, is it reasonable to expect the applicant to use the funds in an honest, competent manner in accordance with the terms and conditions of the *Grant Agreement*?

Checks will be made of the applicant’s references, as well as through the donor community network, related commercial organizations, and professional organizations in the same or similar fields. Reference checks will be documented by use of standardized form keyed to the evaluation criteria listed in Section 3.2.

With reference to Section 4.4, Item A, Tamkeen reserves the right to conduct a pre-award survey of an applicant. All surveys, at a minimum, will include testing related to OMB Circular A-110 financial and program management standards (see Annex A). Other standards (e.g., procurement) will be tested as applicable with respect to the terms and condition of the proposed grant award.

#### **5.5. Public Dissemination of Grant Deliverable(s)**

Because the grantee does not have to pay back the Tamkeen funds it receives, Tamkeen requires that all grant activity deliverable(s) of the grant activity (e.g., a report or survey) be made available to the general public. Although the grantee gains the benefit of first-hand implementation knowledge and insight from the activity, the broad-spectrum results belong in the public domain. Accordingly, as part of the application process, an applicant must propose a plan for circulating the grant deliverable(s) to interested parties. The dissemination plan should be straightforward and permit easy access to the deliverable(s), and must be approved before the grant is awarded.

Since Tamkeen grants are funded by USAID, Mandatory Standard Provisions 10, *Publications and Media Release*, and 23, *Communications Products*, apply. The former requires that USAID be prominently acknowledged in all publications. The latter addresses standards for USAID-funded communications products (e.g. printed materials, videos, etc). Annex E contains the text of the standard provision regarding USAID attribution. In addition, the cognizant CSS will provide more specific guidance to CSOs in adhering to these provisions in the context of the CSO grant-funded activity.

#### **5.6. Tamkeen Training Standards**

Any grant activity that includes a training activity (e.g., workshop, seminar or course) must apply the standards set forth in the Training Best Practices Standards (Annex B). These standards are based on internationally recognized best practices for training. Adherence to the standards ensures that the transfer of knowledge, skills, and attitudes to trainees is optimized.

## SECTION 6.0

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### Grant Application Processes

This section describes processes undertaken by the CSO and Tamkeen from the initial application stage through development of the grant agreement. More information regarding control forms referred herein can be found in the Simplified Grants Manual Supplement—Control Forms: Instructions and Templates. Following this section is a diagram (Tamkeen Application Preparation Process) that focuses on the grant application, review, and appraisal process.

#### 6.1. Preparation, Submission, and Review of Grant Summary Forms

The *Grant Summary Form* serves as a first-screening test for potential grantees. The form is designed to gather essential basic information about the grantee and what it is proposing to do. A review of the form, sometimes supplemented by discussions with the applicant, will provide Tamkeen with a solid insight as to whether or not: (i) the CSO is eligible for a grant; (ii) the stated objective is compatible with the Tamkeen simplified grants purpose; and (iii) the grant concept is worth developing into a full application.

Below are point-by-point instructions for the *Grant Summary Form* template found on the next page:

- Items 1-3: Applicant's name, address, telephone, and fax—self-explanatory.
- Item 4: Key contact person & title—The contact person (agent) is responsible for communications between Tamkeen and the CSO. This applies to all aspects of the grant, from initial summary through completion. The agent must have full authority and responsibility to act on behalf of the grantee. The agent should be someone who is directly involved with the grant activity and has a proven, established relationship with the grantee.
- Item 5: Briefly describe organization and its activities—Should introduce the CSO and its background: How it was formed, its mission or purpose, major accomplishments in the area of the targeted activity, current activities, and clients.
- Item 6: Grant activity title—The title given to the activity should relate to the grant activity objective.
- Item 7: Problem analysis and statement in terms of: (a) the situation, (b) the people, and (c) the negative condition affecting their lives—see Section 4.3.
- Item 8: Grant objective in terms of: (a) how the negative condition for the targeted population will be changed for the better, and (b) linkage to Tamkeen simplified grants purpose—see Section 5.2.
- Item 9: Results to be achieved, linkage to grant objective, and verifiable indicators of achievement—see Section 5.2.2.
- Item 10: Identify beneficiaries, number, location, and how they will benefit from grant.
- Item 11: Should be stated with a degree of accuracy of plus or minus two weeks.
- Item 12: Main task phases of the activity—see Section 5.2.5.
- Item 13: Approximate cost of this activity (cash, in-kind, and third-party sources)—Applicant must submit a rough estimate of the cost of the proposed activity and sources of funds, specifying how much will come from Tamkeen, the applicant's contribution, and any third-party contributions. A detailed budget is not necessary at this point, only a plausible “ballpark” calculation, which should be within 15 percent (+/-) of the final approved budget.
- Item 14: List all other U.S. government funding by award (grant, cooperative agreement, or contract) and amount currently being received or anticipated within the duration of the grant activity.



## TAMKEEN GRANT SUMMARY FORM

1. Organization's name:
2. Address:
3. Telephone:                      Fax:                      E-mail:
4. Key contact person and title:
5. Briefly describe organization, purpose, and past related experience:
6. Grant activity title:
7. Problem analysis and statement in terms of: (a) the situation, (b) the people, and (c) the condition to be positively changed/improved
8. Grant objective in terms of: (a) how the negative condition for the targeted population will be changed for the better, and (b) linkage to Tamkeen's simplified grants purpose:
9. Results to be achieved, linkage to grant objective, and verifiable indicators of achievement:
10. Identify beneficiaries, number, and how they will benefit from grant:
11. Anticipated duration of activity from start to finish:
12. Main task phases of the activity:
  - Task 1
  - Task 2
  - Task 3, etc.
13. Approximate cost of this activity (cash, in-kind, and third-party sources):
 

CSO resources	=	\$ _____	
Third-party resources	=	\$ _____	(identify source)
Tamkeen	=	\$ _____	
Total Estimated Cost	=	\$ _____	
14. List all other U.S. government funding by award (grant, cooperative agreement, or contract) and amount currently being received or anticipated within the duration of the grant activity.

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_

A CSO may decide to prepare a *Summary Form* based on Tamkeen’s publicized expression of interest, or as the result of attending an orientation workshop. The form and the *Tamkeen Simplified Grants Manual* are available upon request from Tamkeen. Tamkeen will offer to brief the interested party as to the purpose of Tamkeen; highlight necessary processing steps; and establish a rapport with the potential applicant. A preliminary question-and-answer briefing session can preclude misdirected efforts by the would-be applicant. Completed *Grant Summary Forms* are submitted to the Director of Field Operations to ensure they are logged in, processed, and properly controlled. Forms will not be accepted if they are partially completed or poorly formatted.

### 6.1.1. Screening of Grant Summary Forms

A CSS will be assigned to lead internal screening and processing of a *Grant Summary Form* (working with the respective CSO). The CSS becomes cognizant for the grant activity in that he/she functions as an account manager. The CSS is the front-line interface for Tamkeen’s relationship with the grant activity, and of course, the implementing CSO. The CSS screens the form to determine if the CSO has presented a grant concept that has the potential to be:

- Results-oriented
- Technically sound
- Administratively complete
- Based on allowable, allocable, and reasonable costs

The CSS can rely on a variety of options for making his/her determination. The CSS can engage in a dialogue with the CSO, request input from other Tamkeen staff, seek the advice of qualified, independent consultants, and/or conduct a reference check on the CSO and its track record. All *Grant Summary Forms* are cross-reviewed by another member of the CSS team. As a result of the screening process, a *Grant Summary Form* is considered either responsive or non-responsive. Responsive forms move on to the next step. Non-responsive forms receive no further processing, and Tamkeen notifies the applicant that its *Grant Summary Form* is considered to be non-responsive.

### 6.1.2. No Objection Review and USAID Vetting

During a Grants Committee meeting, the Grants Committee members review the *Grant Summary Form* applications, with additional briefing from the cognizant CSS. At this point, the Grants Committee will either issue a “no objection” determination for the CSS to work with the CSO toward full application development, or the Grants Committee members may object to further development of the grant application. In cases of objection, the reason will be documented in the minutes of the meeting and communicated to the CSO.

All *Grant Summary Forms* receiving a “no objection” from the Grants Committee move on to grant application preparation, submission, and appraisal. Parallel to this step, the CSS requests, receives, and submits information required by USAID to vet the CSO with regard to U.S. Government Executive Order 13224 and related U.S. laws. The order prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. Annex D provides a sample USAID Vetting Form. As a result of vetting, USAID can issue a no objection statement or it can object to an organization. In case of an objection, the CSO will be notified that USAID has objected and all grant application development activities will be terminated immediately.

## 6.2. Grant Application Preparation, Submission, and Appraisal

A CSO receiving notification to proceed to the more comprehensive *Grant Application* phase may or may not require CSS coaching. If warranted, the CSS reviews the application with the applicant. Emphasis is placed on the need to thoughtfully and carefully respond to all sections of the form. The CSS, if requested, will *coach* the applicant in developing a grant application preparation framework. Once the framework is completed, the CSS must retreat from any further substantive involvement.

The CSO must demonstrate its capability to conceptualize the proposed activity, finalize the implementation plan, define results, and develop the financial plan. If the applicant cannot do this, it is unlikely that it can successfully manage a grant. Once the CSO is satisfied with its *Grant Application*, it submits it jointly to the CSS and the Director of Administration & Finance. The CSS reviews the form using established appraisal criteria (see Section 3.2). The Director of Finance & Administration may request another CSS to independently appraise the application.

Note: In the event that an applicant does not fully complete its grant application within 90 days of receiving a notice to proceed from the cognizant CSS, Tamkeen reserves the right to terminate the grant application development process.

### **6.3. Grant Application Consideration by the Grants Committee**

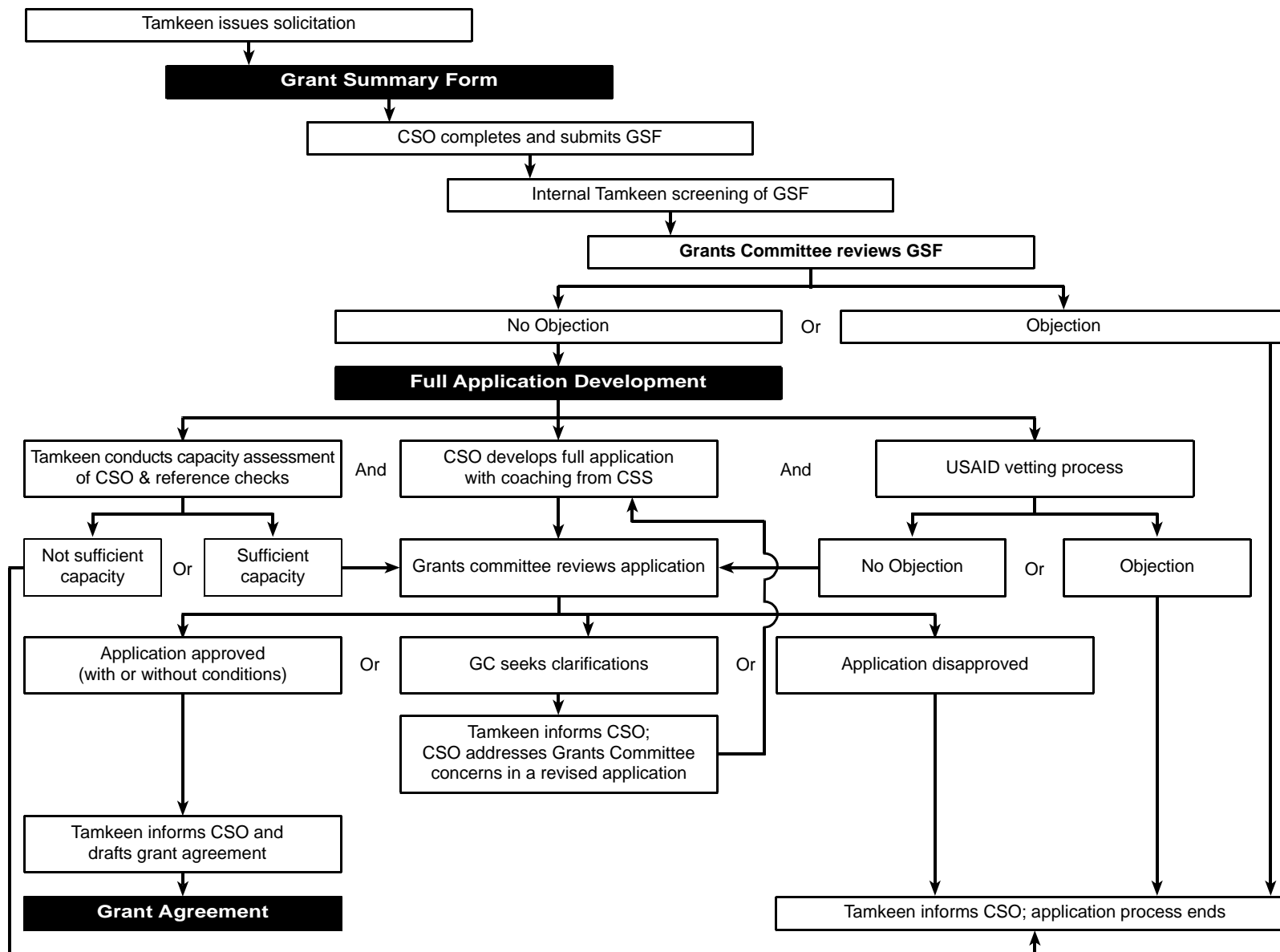
Once a grant application is considered ready, the CSS prepares an Executive Summary form (see Supplement-Control Forms: Instructions and Templates, D), and that form plus the full application and financial plan summary are reviewed by the Grants Committee members and discussed in a Grants Committee meeting. At any given Grants Committee meeting, a number of applications will be considered.

The Grants Committee determines which proposed activities will be funded. If the committee does not approve an application, it must state a reason for not doing so. The Director of Finance & Administration advises an applicant in writing if its application has been approved (or disapproved) and arranges an appointment to review and sign a *Grant Agreement* (or conduct a debriefing).

### **6.4. Grant Agreement**

For every approved application, a *Grant Agreement* is prepared and issued by the Director of Finance & Administration. All discussion of intent or interpretation of the terminology contained within must precede signature. The grantee must fully understand and accept all aspects of the *Grant Agreement* if it is to serve as an effective document of agreement. The Chief of Party signs on behalf of Tamkeen. The required certifications must support all *Grant Agreements*. The full *Grant Agreement* template, including standard terms and conditions, and the certifications can be found in the Supplement to this manual.

### Tamkeen Application Preparation Process



## SECTION 7.0

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# Grant Implementation Processes

This section describes implementation and grant management processes undertaken by the CSO and Tamkeen once the grant agreement has been signed. More information regarding control forms referred herein can be found in the Simplified Grants Manual Supplement—Control Forms: Instructions and Templates.

## 7.1. Financial Management of Grants

The *Grant Agreement* presents the financial, control, and reporting policies for grants. The key concepts for these terms and conditions follow.

### 7.1.1. Bank Account

A grantee must provide Tamkeen with the following information to effect payment:

- Bank name and address
- Account number
- Account name (must be the official name of the CSO)

Preferably, payments will be made by direct wire transfer to the CSO bank account. In select circumstances, and with the approval of the Director of Finance & Administration, payment may be made by bank check. In the event that a bank check is issued, it will be in the name of the CSO and marked “FOR DEPOSIT ONLY.” This assures Tamkeen that, at a minimum, all grant funding passes through an identified account. Furthermore, upon signature of a grant agreement, the CSO must submit the aforementioned banking information to Tamkeen, along with a certification and/or letter from the bank that the CSO has a separate sub-account for Tamkeen funds, as an important element of ensuring sufficient internal controls.

All payments will be in U.S. dollars. Under no circumstances will any payment be made in cash, to the account of a private person, and/or to an offshore account.

### 7.1.2. Reimbursement Payment

All requests for reimbursement must correspond to a tranche payment specified in the *Grant Financial Plan Summary*. All requests for reimbursement must be processed using the *Grant Tranche Payment Request Form*, supported by a *Grant Activity Monitoring Form* and a financial summary report.

The financial summary report can be in a format of the CSOs choosing (spreadsheet or generated by accounting system software), but should contain the following elements:

- Total grant amount
- Total amount of requested tranche payment
- Actual expenditures to date, in accordance with line item budget, with information presented on a cumulative basis, as well as broken down by tranche payment
- Clear indication and tracking of any variance (over or under) from the approved tranche payment amount

While the primary purpose of the tranche payment/milestone for reimbursement system is to link payments and successful achievement of grant objectives, it is important to note that the US

government regulations underlying Tamkeen's grant program require detailed financial record keeping and reporting. Therefore, the financial summary accompanying each tranche payment request is a way to encourage a regimen of financial tracking and monitoring. The financial summary report should provide details on cumulative actual expenditures in activity implementation to date, as well as details broken down by tranche payment.

Payments will be made on the basis of the approved tranche payment amounts, provided actual expenditures equal budgeted tranche payment amounts. If not, payment will be made on the basis of the following:

- A tranche payment request that details a variance of 10% or more below the approved tranche payment amount (i.e. resulting in excess or surplus funds), will be paid on the basis of actual expenditures. The organization will be required to submit to Tamkeen a curative plan to account and compensate for the variance. Upon Tamkeen approval, the grant agreement and tranche payment schedule will be modified accordingly in order to affect payment.
- A tranche payment request that details expenditures above the approved tranche payment amount will be paid on the basis of the budgeted amount. The organization will be required to submit to Tamkeen a curative plan to account for and justify the over expenditure and to compensate for the variance for the remainder of grant implementation. Upon Tamkeen approval, the grant agreement and tranche payment schedule may be modified accordingly.
- A tranche payment request that details a surplus within 10% below the approved tranche payment amount will be paid on the basis of the budgeted amount. Any surplus grant funds that are accumulated over the course of grant implementation will be reconciled upon the end of the grant in the submission of the Final Grant Financial Summary Plan Reconciliation. The reconciliation of any remaining surplus funds can take place either by reprogramming the excess funding in a grant activity approved by Tamkeen or by reimbursing Tamkeen the surplus amount. Upon Tamkeen approval of the final reconciliation plan, the final tranche payment will be made, reflecting the reconciliation.

### 7.1.3. Milestone for Reimbursement

By linking payments and reimbursements to a task milestone, Tamkeen has a means of verifying that progress toward successful achievement of the grant objective is being made. All payments must be supported by a grantee certification that the respective milestone has been successfully achieved (i.e., *Grant Tranche Payment Request Form*). Tamkeen reserves the right to independently verify the milestone. In some cases, it may do so by means of verification by a third party of its choice.

### 7.1.4. Direct Payment

On a case-by-case basis, Tamkeen will consider making direct payments to suppliers on behalf of a grantee. In such cases, the grantee must be able to demonstrate that: (a) the good or service is clearly specified in the *Grant Application*, (b) the good or service is allowable, allocable, and reasonable, (c) that the selection of source was based on full and open competition to the maximum practicable extent, and (d) the item or good meets USAID-specified Tamkeen source, origin, and/or nationality requirements. Arrangement for direct payment will be made by the Director of Finance & Administration in accordance with generally accepted good business practices and Chemonics International's procurement policies and procedures.

When granted, equipment is purchased directly by Tamkeen under a Fixed Obligation Grant (FOG). Equipment procurement is generally not funded under Tamkeen simplified grants program.



### 7.1.5. Advances

Tamkeen does not advance funds for simplified grants. Tamkeen support is provided by means of after-the-fact reimbursement of approved costs.

### 7.1.6. Separate Financial Record Keeping and Reporting

Per the *Grant Agreement*, the grantee agrees to maintain a separate and segregated financial tracking system. Any necessitated review (or audit) of grantee ledgers and journals will focus on the recording, classification, and reporting of grant expenses matched to reimbursements. Guidance regarding compliance requirements for records can be found in Annex A, OMB Circular A-110. Guidance regarding reviews and audits can be found in Annex A, OMB Circular A-133.

Furthermore, in accordance with Section 579 of the FY 2003 Foreign Operations Appropriation Act, the grantee must track and maintain information related to the payment of foreign taxes assessed by the Palestinian Authority on commodity purchase transactions valued at \$500 or more financed with US foreign assistance funds. This information will be collected by Tamkeen from each grantee in accordance with the schedule and conditions set forth in Annex K.

Note: A grantee is required to maintain all grant-related financial records in accessible and auditable condition for three years after the completion of the grant activity.

## 7.2 Monitoring, Evaluation, and Reporting

The grants management system provides four primary access points (opportunities) for monitoring, evaluation, and reporting, as detailed below.

### 7.2.1. Milestones

The *Grant Application* requires the grantee to identify a milestone of achievement for each task. Milestones must be defined in quantitative and qualitative terms. To be reimbursed for grant activity expenses (i.e., a tranche payment), the grantee must achieve the milestone(s) as set forth in the *Grant Agreement*. When a grantee requests reimbursement, as Tamkeen resources and conditions on the ground permit, a reasonable effort will be made to verify the milestone(s) independently of the CSO's assessment.

#### 7.2.2. End or Activity Result(s)

Like milestones, results are presented in the *Grant Application*. Because they are verifiable, results can be quantified and qualified. The grantee either achieves the results as defined or does not—a very simple determinant of success.

### 7.2.3. Grantee Activity Completion

Per the *Grant Agreement*, the CSO is required to prepare and submit a report to Tamkeen that, at a minimum, covers:

- Grant activity objective achievements
- Tamkeen Performance Monitoring Plan achievements per sub-IRs (see Section 5.2)
- Grant activity implementation process
- Lessons learned and recommendations
- Public dissemination process
- Final Grant Summary Plan Reconciliation by Budget Line Item

The final report usually constitutes the final milestone deliverables, and as such prompts the final tranche payment of the grant. The report is submitted to the cognizant CSS for review and approval. If the CSS determines that the report is inadequate or incomplete, he/she will return the report to the CSO for rectification and resubmission. If the CSS views the report as being responsive, and after any outstanding financial issues resulting from the Grant Summary Plan Reconciliation have been resolved by Tamkeen, the final tranche payment will be processed (if applicable) and the *Grant Completion Certificate* will be prepared, signed by the CSS and grantee agent, and forwarded to the Grants Committee for acceptance. The *Grant Agreement* cannot be officially closed until the Grants Committee endorses the official closing of the grant file.

## 7.2.4. Site Visits

A site visit to a grant activity can provide a wealth of information as to progress, need for modification, possible spin-off activities, etc. Each grant activity must receive at least one formal site visit by Tamkeen staff. All site visits result in the preparation of a *Grant Activity Monitoring Form*. All monitoring forms are placed in the grant activity file.

## 7.3. Termination, Suspension and Modifications of Grants

### 7.3.1. Termination & Suspension

Per the *Grant Agreement*, Tamkeen reserves the right to terminate a grant for: (i) material failure, (ii) with consent of the grantee, (iii) upon request of the grantee, (iv) or when continuation is not in the U.S. national interest. If grant termination is considered, it should only be undertaken after a full discussion with the Grants Committee and with its written approval.

- A. Termination for Material Failure—Tamkeen may terminate the grant at any time, in whole or part, upon written notice to the grantee, whenever it is determined that the grantee has materially failed to comply with the terms and conditions of the award. Termination should only be invoked when all other corrective measures have failed. If a grant activity is well designed, then failure to achieve the objective will most likely result from either a wholly unanticipated event or condition (an invalid assumption) or negligence on behalf of the grantee.
- B. With Consent of Grantee—Tamkeen may terminate the grant, in whole or in part, with consent of the grantee. Both parties shall agree upon termination conditions, including effective date and, in case of partial terminations, the portion of the award to be terminated. The agreement to terminate will be in written form.
- C. Upon Request of the Grantee—the grantee may terminate the award in whole or in part upon sending a written notice to Tamkeen. The notice must specify the reason for termination, the effective date, and, in case of partial termination, the portion to be terminated. If in the opinion of Tamkeen a partial termination will mean that the purpose of the grant will not be achieved, Tamkeen may terminate the award in accordance with A or B above.
- D. U.S. National Interest—If at any time USAID determines that continuation of all or part of the funding for a grant should be suspended or terminated because such assistance would not be in the national interest of the United States, or would be in violation of an applicable law, USAID may instruct Tamkeen to suspend or terminate the grant in whole or in part on an immediate basis.

In addition, Tamkeen may suspend a grant with 15 days advance notice to the grantee. The length of suspension may be specified or processed on an open-ended basis. Suspension is predicated on the rationales of Items A through D above.

### 7.3.2. Modification

Modification of a *Grant Agreement* requires the mutual written endorsement of the grantee and Tamkeen in the form of a *Grant Agreement Modification Notice*.

#### Types of Modifications:

- A. Grant Agreement No-Cost Modification—A written modification will be issued when there is a need for material alteration of a programmatic aspect of an agreement and when there is no impact on cost. An illustrative example would be when the achievement of the grant objective is in jeopardy, and as a result of joint discussions a curative plan is developed to put the activity back on track. That curative plan would be sanctioned by issuance of the notice. Another example would be a modification to the beginning or completion dates of the grant to provide an extension in the event that unforeseen circumstances outside the control of the CSO impede the CSO's ability to meet the implementation plan timeline.
- B. Grant Agreement Cost Modification—All modifications—technical or otherwise—that increase the total funding value of a grant must be approved by the Grants Committee. All requests for a cost modification must be processed in accordance with the following criteria:
  - Cost modifications will only be considered to address compelling, extreme circumstances that jeopardize the achievement of a grant objective(s).
  - Poor planning on behalf of the grantee is not an acceptable rationale for requesting a cost modification.
  - All cost modifications must be supported by a revised financial plan that details the original approved line items, the revised line items, and expenditures to date. Revised financial plans will be analyzed for soundness and completeness, and with respect to the allowability of expenditures to date.
  - A cost increase must always be driven by a revised implementation plan—not vice versa.
- C. Budget Realignment—All modifications that result in a 15-percent or greater budget realignment require the written approval of the Grants Committee.
- D. Other Modifications—Other types of modifications may be issued with the approval of the Grants Committee.

### 7.3.3. Conformity

A *Grant Agreement Modification Notice* must conform to the format and content of the original *Grant Agreement* and be executed in two original copies (one for the grantee, one for Tamkeen).

### 7.3.4. Limitations

With reference to Sections 4.1 and 4.2, the absolute limitations for time and funding may not be exceeded by issuance of a *Grant Agreement Modification Notice*.

## 7.4. Arbitration

Whenever an impasse arises between the grantee and Tamkeen over a substantive issue related to the *Grant Agreement*, arbitration is the first and preferred method of resolution. In those cases, both the Director of Finance & Administration and the grantee will present their respective cases to the Grants Committee. After deliberations, the committee will issue a binding settlement to which both parties agree to abide. The USAID representative will chair the committee and will have final authority in resolving all disputes.

## 7.5. Grant Renewals

As a grant activity comes to closure, a grantee may request consideration for a renewal of the grant. Tamkeen processes requests for renewal on a case-by-case basis, with the best interests of the project being of paramount importance. In cases where a grantee would like Tamkeen to consider a request for renewal, there are three primary considerations:

- First, the request is based on a continuation of the current grant activity. In other words, the renewal does not present a major shift in technical focus or content from the original grant. If the shift is major, then the request is in fact an application for a new grant activity and the concept of renewal is negated.
- Concomitantly, it is expected that the grantee will have gained technical insight and built capacity by means of lessons learned during original grant implementation. As such, these lessons learned should be clearly evident in the renewal request and contribute to overall activity impact.
- Finally, it is assumed that the original grant will have included activity design and development tasks, and those costs were fully recovered. Therefore, the renewal should only contain modest design development costs required to absorb lessons learned into the renewal implementation plan.

In addition to the considerations listed above, renewal awards are subject to the same grant funding limitations specified in Sections 4.1 and 4.2 of this manual regarding ineligible activities, reimbursement funding, etc. Individual renewal grants may not exceed \$150,000 or 18 months, and award of a renewal grant must not bring the grantee above the award restriction threshold of a maximum of three active simplified grants at a given time for a maximum of \$450,000 in any 18 month period.

A grant renewal request is processed similarly to a new application except for the initial go-ahead on the concept. Instead of completing a *Grant Summary Form*, the CSO should draft a letter to Tamkeen requesting renewal. Tamkeen will conduct an internal evaluation of the request to assess:

- CSO implementation performance with respect to technical work plan
- Whether project results address critical needs of beneficiaries
- Whether project results further Tamkeen's overall objective
- Current Tamkeen program priorities and funding limitations
- Whether the renewal would assist the CSO to come to closure on defined objectives or transition to other funding source(s)
- CSO administrative performance
- CSO commitment to cost containment
- CSO responsiveness to Tamkeen guidance and direction

If Tamkeen determines that the renewal would be in the best interest of the project, Tamkeen will present the request to the Grants Committee. The Grants Committee will decide whether or not the renewal concept is approved. If approved, the CSO will be requested to prepare a full grant application. If not, the CSO will be advised accordingly.



# **TAMKEEN**

**West Bank and Gaza Civil Society and  
Democracy Strengthening Project**

## **Simplified Grants Manual Supplement**

**Version 2.03**



**Funded by:**

United States Agency for International Development  
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Chemonics International Inc.

**In conjunction with its partners:**

AMIDEAST  
CARE International  
MASSAR Associates

**Date:**

March 2004

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## ACRONYMS

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ADS	Automated Directory System
ASTD	American Society for Training and Development
CSO	Civil Society Organization
CSS	Civil Society Specialist
DFA	Director of Finance and Administration
DFO	Director of Field Operations
GAAP	Generally Accepted Accounting Principles
IAS	International Accounting Standards
IR	Intermediate Result
ISD	Instructional System Design
KSAs	Knowledge, Skills, and Attitudes
OMB	Office of Management and Budget
PMP	Performance Monitoring Plan
USAID	United States Agency for International Development

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## Control Forms: Instructions and Templates



## A. Grant Summary Form

### A.1. Purpose

The *Grant Summary Form* serves as a first-screening test for potential grantees. The form is designed to gather essential basic information about the grantee and what it is proposing to do. A review of the form, sometimes supplemented by discussions with the applicant, will provide Tamkeen with a solid insight as to whether or not: (i) the CSO is eligible for a grant; (ii) the stated objective is compatible with the Tamkeen simplified grants purpose; and (iii) the grant concept is worth developing into a full application.

### A.2. Instructions by Section

Items 1-3: Applicant's name, address, telephone, and fax—self-explanatory.

- Item 4: Key contact person & title—The contact person (agent) is responsible for communications between Tamkeen and the CSO. This applies to all aspects of the grant, from initial summary through completion. The agent must have full authority and responsibility to act on behalf of the grantee. The agent should be someone who is directly involved with the grant activity and has a proven, established relationship with the grantee.
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- Item 6: Grant activity title—The title given to the activity should relate to the grant activity objective.
- Item 7: Problem analysis and statement in terms of: (a) the situation, (b) the people, and (c) the negative condition affecting their lives—see Section 4.3.
- Item 8: Grant objective in terms of: (a) how the negative condition for the targeted population will be changed for the better, and (b) linkage to Tamkeen simplified grants purpose—see Section 5.2.
- Item 9: Results to be achieved, linkage to grant objective, and verifiable indicators of achievement—see Section 5.2.2.
- Item 10: Identify beneficiaries, number, location, and how they will benefit from grant.
- Item 11: Should be stated with a degree of accuracy of plus or minus two weeks.
- Item 12: Main task phases of the activity—see Section 5.2.5.
- Item 13: Approximate cost of this activity (cash, in-kind, and third-party sources)—Applicant must submit a rough estimate of the cost of the proposed activity and sources of funds, specifying how much will come from Tamkeen, the applicant's contribution, and any third-party contributions. A detailed budget is not necessary at this point, only a plausible "ballpark" calculation, which should be within 15 percent (+/-) of the final approved budget.
- Item 14: List all other U.S. government funding by award (grant, cooperative agreement, or contract) and amount currently being received or anticipated within the duration of the grant activity.

**A.3. Grant Summary Form**

**TAMKEEN  
GRANT SUMMARY FORM**

1. Organization's name:
2. Address:
3. Telephone:                      Fax:                      E-mail:
4. Key contact person and title:
5. Briefly describe organization, purpose, and past related experience:
6. Grant activity title:
7. Problem analysis and statement in terms of: (a) the situation, (b) the people, and (c) the negative condition affecting their lives.
8. Grant objective in terms of: (a) how the negative condition for the targeted population will be changed for the better, and (b) linkage to Tamkeen's simplified grants purpose:
9. Results to be achieved, linkage to grant objective, and verifiable indicators of achievement:
10. Identify beneficiaries, number, and how they will benefit from grant:
11. Anticipated duration of activity from start to finish:
12. Main task phases of the activity:
  - Task 1
  - Task 2
  - Task 3, etc.
13. Approximate cost of this activity (cash, in-kind, and third-party sources):
 

CSO resources	=	\$ _____	
Third-party resources	=	\$ _____	(identify source)
Tamkeen	=	\$ _____	
Total Estimated Cost	=	\$ _____	
14. List all other U.S. government funding by award (grant, cooperative agreement, or contract) and amount currently being received or anticipated within the duration of the grant activity.

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_

## B. Grant Application

### B.1. Purpose

The *Grant Application* expands upon the basic information presented in the *Grant Summary Form* and provides a standardized format for review of the major elements of the proposed activity. Review and appraisal of the information presented on the application determines approval or disapproval of an activity.

### B.2. Instructions by Section

- Items 1-4:      Applicant's name, address, etc.—self-explanatory.
- Item 5:        Grant activity title—self-explanatory.
- Items 6-7:     Problem analysis and statement and grant objective—see Section 5.2.1.
- Item 8:        Verifiable results—see Section 5.2.2.
- Item 9:        Methodology for measuring results—The applicant must present a sound but simple methodology for quantifying and qualifying verifiable indicators of achievement. If the methodology relies on baseline data, that data must be present and reliable prior to the grant activity.
- Item 10:       Definition of grant objective successful achievement—The applicant should define what constitutes successful achievement of the sought-after objective.
- Item 11:       Detailed explanation of the relationship between Tamkeen's simplified grant purpose and verifiable results—see Section 5.2.
- Item 12:       Identify beneficiaries, number, and how they will benefit.
- Item 13:       Linkage to Tamkeen's Performance Monitoring Plan—see Annex C.
- Item 14:       Plan for disseminating activity deliverables to general public—see Section 5.5.
- Item 15:       Grant activity implementation plan—The form allocates space for three tasks. If required, the applicant can sub-divide the implementation plan into more than three tasks, or less than three tasks. The main thing is that the tasks listed show a logical, thoughtful approach to the overall implementation plan. Tasks should describe actions and should follow a logical sequence. Each task must contribute to the achievement of the activity objective (see Section 5.2.5).
- Item 16-17:    Estimated date of start-up and completion—The duration of the grant can be derived from these two dates.
- Item 18:       List all relevant material assumptions made and/or contingencies...achievement of the grant objective—see Section 5.3.
- Item 19:       General CSO background information—The background of the CSO should relate to the nature and scope of the grant activity. For example, a CSO with considerable experience in health care should be proposing an activity in its core competency (i.e., the health field). This speaks to the CSO's capability.
- Item 20:       Previous or ongoing experience implementing similar activities—This is where the applicant presents its proven track record of success. This is a critical factor in assessing the capacity of the CSO to implement the activity. CVs for key personnel must be included.

- Item 21: List three independent qualified professional references—The references should be relevant to the proposed activity, and truly independent and qualified to pass along an objective, informed opinion. Preferably, two of the references should be from existing or previous donors.
- Item 22-24: Definition of CSO, third-party, and Tamkeen contributions—These definitions are helpful in determining cost realism in terms of allowability, allocability, and reasonableness.
- Item 25: Long-term, recurrent commitments resulting from this activity and plan for sustainable coverage—This section does three things:
- It requires the applicant to consider and identify long-term costs that Tamkeen will not cover.
  - It requires the applicant to secure and identify long-term coverage of the costs.
  - It makes it clear to the applicant that Tamkeen has no obligation to sustain these costs on a long-term basis. Tamkeen support ceases once a grant activity has reached its completion as defined in the *Grant Application*.
- Item 26: Simplified Grant Financial Plan Summary Form—see C.2 below for instructions.
- Item 27: List all other U.S. government funding by award (grant, cooperative agreement, or contract) and amount currently being received or anticipated within the duration of the grant activity.

## B.3. Grant Application



### TAMKEEN GRANT APPLICATION

#### Section I – Basic Information

1. Organization's name:
2. Address:
3. Telephone: Fax: E-mail:
4. Agent and title:

#### Section II – Program Description

5. Grant activity title:
6. Problem analysis and statement:
7. Statement of grant objective:
8. Statement of verifiable results:
9. Methodology for measuring results:
10. Definition of successful grant objective achievement:
11. Detailed explanation of the relationship between Tamkeen's simplified grants purpose, the grant Identify beneficiaries, number, and how they will benefit from grant:
12. Linkage to Tamkeen's Performance Monitoring Plan:
13. Plan for disseminating deliverable(s) to general public:

#### Section III – Implementation Plan

14. Grant activity implementation plan:

##### Task 1 Title:

Task description:

Responsible party(s):

Grant-financed resource required & detailed explanation of use:

Non-grant-financed resources required:

Schedule:

Milestone of achievement:

##### Task 2 Title:

Task description:

Responsible party(s):

Grant-financed resource required & detailed explanation of use:

Non-grant-financed resources required:

Schedule:

Milestone of achievement:

##### Task 3 Title:

Task description:

Responsible party(s):

Grant-financed resource required & detailed explanation of use:

Non-grant-financed resources required:

Schedule:

Milestone of achievement:

Note: All implementation plans must be supported by a bar chart that shows all identified tasks over the duration of the activity.

15. Estimated date of start-up:
16. Estimated date of completion:
17. List all relevant material assumptions made and/or contingencies regarding third-party actions that are required for the successful achievement of the grant objective:

#### **Section IV – Experience & Capacity**

18. General CSO background information:
19. Previous or ongoing experience implementing similar activities:
20. List three independent qualified professional references:

#### **Section V – Cost Realism**

21. Definition of CSO contribution in terms of cash or in-kind:
22. Definition of contributions of third party(s) to activity:
23. Definition of Tamkeen contribution:
24. Long-term, recurrent commitments resulting from this activity and plan for sustainable coverage:
25. A fully completed and certified Tamkeen *Simplified Grant Financial Plan Summary* with budget notes must support all applications.
26. List all other U.S. government funding by award (grant, cooperative agreement, or contract) and amount currently being received or anticipated within the duration of the grant activity.

#### **Submitted by:**

On behalf of the CSO identified in Section I, “Basic Information,” of this *Grant Application*, I hereby certify that to the best of my knowledge, this application in its entirety contains only true and current information:

Name \_\_\_\_\_  
 Title \_\_\_\_\_  
 Signature \_\_\_\_\_  
 Date \_\_\_\_\_

FOR TAMKEEN USE ONLY	
Date received _____	Office _____
By _____	Reference No. _____
<p>The undersigned hereby certifies that: (a) the CSO has received an official delivery receipt for its <i>Grant Application</i>, (b) a copy of that receipt has been filed, (c) a reference number has been assigned, and (d) a grant application file has been opened. In addition, the CSO has been advised as to the review and appraisal process, and its primary Tamkeen point of contact.</p>	
<p>Tamkeen Director of Field Operations _____ Date _____</p>	

## C. Simplified Grant Financial Plan Summary Form

### C.1. Purpose

This form, when properly completed, reviewed, and approved, serves as the mutually agreed-upon “roadmap” for activity financial management. It should be noted that a USAID-ADS condition of Tamkeen support is that all activity costs must be identified. When reviewing cost data, it should be kept in mind that proposed amounts could be unrealistically high or low. To be successful, a grant activity must be adequately funded—not over-funded or under-funded.

### C.2. Instructions by Section

**Administration & Management**—These are direct costs that will be incurred by the CSO to provide general administrative and management support to the activity:

- Salaries—Salary or any other form of direct payment of grant funds to any CSO administrative or management employee.
- Benefits—Per CSO established policy and procedures.
- Other Direct Costs—This covers non-personnel-related costs such as expendable supplies, rent, utilities, cleaning services, etc, that are required to support the grant activity and the general administrative and management function.
- Other—Must be itemized.

**Direct Activity Funding**—These are direct costs incurred by the applicant to implement the grant activity implementation plan:

- Salaries—Salary or any other form of direct payment of grant funds to any CSO employee who is directly engaged with the grant activity implementation plan.
- Benefits—Per CSO established policy and procedures.
- Other Direct Costs—This covers non-personnel-related costs such as expendable supplies, rent, utilities, cleaning services, etc, that are required to support the grant activity implementation plan.
- Activity Service Delivery—Examples would be the rental of a training facility, or printing of training documents.
- Travel & Transport—This covers activity staff and/or beneficiary travel costs and per diem, plus the cost of transporting activity materials.
- Goods & Materials—This covers goods (e.g., equipment and furnishings) with a useful life of one year or more that are required for the activity. The cost of any item cannot exceed \$5,000. The purchase of such goods must meet USAID requirements for local cost financing.
- Other—Must be itemized.

Note 1: All grant activity costs must be within the normal operating practices of the CSO and in accordance with its written policies and procedures.

Note 2: All line items must be supported by budget notes with enough detail to permit a determination of cost allowability with respect to Tamkeen cost principles (see Annex A, OMB Circular A-122).

## C.3. Financial Plan Summary Form



**TAMKEEN**  
**SIMPLIFIED GRANT FINANCIAL PLAN SUMMARY FORM**

CSO Name:

Grant Activity Title:

Line-Item Budget (Tamkeen Only)	Task 1	Task 2	Task 3	Task 4	Etc.	Totals
<b>Administration &amp; Management</b> Salaries Benefits Other Direct Costs Other (itemize on attachment) <b>Subtotal</b>						
<b>Direct Activity</b> Salaries Benefits Other Direct Costs Activity Service Delivery Travel & Transport Goods & Material Other (itemize on attachment) <b>Subtotal</b> <b>Totals</b>						
<b>Tranche Payments</b>						
Tranche Payment 1						
Tranche Payment 2						
Etc						
					<b>Total Tranche Payments</b>	
<b>Description of Milestones</b>						
Tranche Payment 1						
Tranche Payment 2						
Etc						
<b>Contributions</b>						
Tamkeen						
CSO						
Third Party						

Note: Budget notes are required for each line item in sufficient detail to facilitate a complete cost allowability determination in accordance with Tamkeen cost principles.

The above cost data is certified to be accurate, complete, current, and allowable per the guidance found in Tamkeen's Simplified Grants Manual:

CSO Agent \_\_\_\_\_ Date \_\_\_\_\_



## D. Application Executive Summary Form

The *Executive Summary Form* is an internal Tamkeen document that serves to summarize the primary criteria for evaluating a proposed grant activity. It is prepared by the cognizant CSS and, after internal review, presented to the Grants Committee along with the full grant application. After consideration of the grant application in a Grants Committee meeting, the Grants Committee members will sign this form to indicate their approval or disapproval of the grant application, and state any reasons and/or conditions for their decision. The signed *Executive Summary Form* serves as internal documentation of the Grants Committee's consideration and decision on the *Grant Application*. It is provided here for information purposes only.



### APPLICATION EXECUTIVE SUMMARY FORM

1. Applicant's name:
2. Tamkeen grant reference number:
3. Grant activity title:
4. Summary of grant activity:
5. Special considerations and/or recommendations the Grants Committee should be aware of:

6. CSS Review and Certification	Yes	No	Initial
<b>Section I</b> – Basic information is complete and accurate and the project grant file is fully documented.			
<b>Section II</b> – The program description presents a sound and complete relationship between Tamkeen's simplified grant purpose, the grant activity objective, and verifiable results. There is a clear linkage to Tamkeen's Performance Monitoring Plan.			
<b>Section III</b> – The implementation plan as presented is well thought out, sound, and complete, and should allow the CSO to achieve its grant objective within the schedule proposed. The assumptions and contingencies identified by the CSO are reasonable and acceptable.			
<b>Section IV</b> – The CSO's background and relevant implementation experience indicate that it has the capability and capacity to successfully implement the activity. Three references have been verified and comments have been placed in the grant file.			
<b>Section IV</b> – All costs presented—regardless of source—appear to be allowable, allocable, and reasonable. The budget as presented should be adequate to accomplish the grant objective. The CSO has made adequate provision to cover all ongoing recurrent costs resulting from the activity.			
<b>Conditions</b> – Based on the review of the <i>Grant Application Form</i> , as well as subsequent discussions with the CSO and reference checks, to my knowledge Tamkeen funds will not be used to finance: (a) international travel, (b) indirect costs, (c) single goods in excess of \$5,000 with a shelf life of one year or more, and (d) all activity costs are identified and (e) there are no sub-agreements.			

<b>7. Technical &amp; Administrative Review Certification</b>  Technical – Director of Field Operations    ( ) Recommend for Funding _____ Administrative – Director of F&A            ( ) Recommend for Funding _____	
<b>8. Grants Committee Approval</b> ( ) Approved for funding in the amount of \$ _____ Date _____ ( ) Not approved for funding because:  Required <i>Grant Agreement</i> Special Conditions:  USAID _____ CARE _____ AMIDEAST _____ Chemonics _____	

## E. Grant Agreement

### E.1. Purpose

The *Grant Agreement* with *Simplified Grant Financial Plan Summary Form* constitutes the agreement between Tamkeen and the grantee. The *Agreement* is designed to clearly lay out the grantee's obligations to Tamkeen, and in return, what the grantee can expect from Tamkeen.

The *Agreement* is divided into three main sections. The first, *Basic Information*, presents all the variable information that pertains to a specific grant. Once all items have been completed, anyone reviewing the *Agreement* has all the variables presented in one place, thus eliminating the need to flip through pages to find data. The second section, *Terms & Conditions*, presents the standard clauses and regulations ("boilerplate") governing all simplified grants awarded by Tamkeen. The third section, the *Statement of Agreement*, declares the grantee's acceptance of the *Agreement* in its entirety and is entered into by joint signature of the grantee and Chemonics' Chief of Party.

### E.2. Instructions by Section

- Items 1-12: Self-explanatory based on preceding discussion of the *Grant Summary*, *Grant Application*, and *Executive Summary* forms.
- Items 13-14: Financial data is taken from the approved *Grant Financial Plan Summary Form*, which is an integral part of the Grant Agreement.
- Item 15: Incorporated Documents—It is important that the grantee realize that both the *Simplified Grants Manual* and its final approved *Grant Application* are considered to be part of the *Agreement*. Both are supporting reference documents.
- Item 16: Special Provisions—This is where any situation or circumstances that are not addressed in the *Terms & Conditions* or the *Incorporated Documents* may be presented and agreed to in writing. If Item 16 is to be left blank, the word Nil must be inserted.
- Items 17-36: Terms & Conditions—They are presented in specific, detailed language. It is very important that all grantees fully understand each item and its implications regarding the grantee's acceptance of an award, implementation of an activity, and all obligations regarding accountability and reporting as prescribed by Tamkeen. The CSS must not assume that a grantee understands the *Terms & Conditions* because it has perused them. The CSS must take the time to review the *Grant Agreement* on an item-by-item basis with each grantee prior to signature.

**E.3. Grant Agreement**

**TAMKEEN**  
**GRANT AGREEMENT No. \_\_\_\_\_**

*“Title”*

The Tamkeen project is financed by the United States Agency for International Development (USAID). In accordance with the *Basic Information* and the *Terms and Conditions* detailed below, the Tamkeen project and the designated Grantee enter into this *Grant Agreement*.

**BASIC INFORMATION**

1. Name of Grantee
2. Address
3. Telephone \_\_\_\_\_ Fax \_\_\_\_\_ E-mail \_\_\_\_\_
4. Agent of Grantee and Title
5. Agent of Tamkeen and Title
6. Tamkeen Address
7. Telephone \_\_\_\_\_ Fax \_\_\_\_\_ E-mail \_\_\_\_\_
8. Grant Activity Title
9. Grant Reference No. \_\_\_\_\_ Approved on \_\_\_\_\_
10. Duration of Grant
11. Grant Beginning Date
12. Estimated Grant Completion Date
13. Approved *Grant Financial Summary Plan* is shown as attachment; the total Tamkeen commitment to this grant activity is:  
  
Total in Words—USD \_\_\_\_\_
14. The schedule of tranche payments is shown in the attached *Grant Financial Summary Plan*.

Tranche Payment #	Milestone Description	Amount
1		
2		
3		
<b>Total Tamkeen Funding</b>		

15. Incorporated Documents:

- Tamkeen Simplified Grants Manual and Supplement\*
- *Grant Application* supported by *Grant Financial Summary Plan* \*
- \_\_\_\_\_ Nil \_\_\_\_\_

\* Mandatory incorporated documents.

16. Special Conditions (if none, state **Nil** below):

### TERMS & CONDITIONS

17. **Authority of Agents**—It is agreed that the designated agents on behalf of the Grantee and Tamkeen have unrestricted and sole authority to represent their respective organizations in all matters related to this *Grant Agreement*.
18. **Objective of Grant**—It is agreed that, with reference to Section II, Item 6 (*Statement of Grant Objective*) of the *Grant Application* submitted by the Grantee and approved by the Grants Committee, the exclusive use of Tamkeen funding will be for the achievement of the stated objective. Furthermore, if at any time the Grantee should determine that achievement of the objective is no longer reasonably feasible for any reason; the Grantee's agent must notify Tamkeen's Agent in writing in a timely manner.
19. **Incorporation of Referenced Documents**—With reference to the documents listed under Item 15, *Incorporated Documents*, above, such documents are hereby incorporated as an integral part of this *Grant Agreement* unless specifically noted under Item 16 (*Special Conditions*).
20. **Order of Precedence**—In the event that Tamkeen's Agent should determine that there is a conflict of intent or interpretation between any sections of this *Grant Agreement* and the *Incorporated Documents* listed under Item 15 above, the order of precedence shall be: (a) the *Grant Agreement*; (b) the *Tamkeen Simplified Grants Manual*; (c) the *Grant Application*; and finally, (d) any additional documents listed under Item 15 above in order of presentation.
21. **Expiration of Grant**—With reference to Item 12 *Estimated Grant Completion Date*, it is agreed that all activities financed with Tamkeen funds will be completed or cease on the specified date unless Tamkeen's Agent provides approval of extension in writing prior to the specified *Grant Completion Date*.
22. **Site Visitations**—The Grantee hereby agrees to facilitate and assist with any grant activity site visits as requested by Tamkeen's Agent or designee (e.g., the cognizant Civil Society Specialist).
23. **Grant Activity Completion Report**—Within 30 calendar days of the *Grant Completion Date*, the Grantee will submit a *Grant Activity Completion Report*, which will include, at a minimum, the following sections:
- Grant activity objective achievements
  - Tamkeen Performance Monitoring Plan achievements per sub-IRs
  - Grant activity implementation process
  - Lessons learned and recommendations
  - Public dissemination process
24. **Conditions**—It is hereby certified by the Grantee's agent that: (a) Tamkeen funds will not be used to finance international travel and indirect costs, (b) all goods will meet USAID financing regulations with regard to local costs and no single item will have a useful shelf-life of over one year or a cost of over \$5,000, (c) all activity costs are identified, and (d) there are no sub-agreements.
25. **Grant Disbursement Mechanism**—The total value of this Grant shall not exceed the amount listed under Item 13 above. The Grantee will not be reimbursed for costs incurred in excess of the total amount obligated under the grant. Disbursement of funds to the Grantee shall be in accordance with the *Grant Financial Plan Summary*.
26. **Grantee Bank Account**—It is agreed that all Tamkeen funds will be wire transferred into the following CSO bank account:
- Bank Name & Address:  
Account No.:  
Account Name:
27. **Authorized Grant Disbursements**—Grant funds may only be used to pay for expenses presented in the *Grant Financial Plan Summary* to cover activities or tasks detailed in the *Grant Application*.

28. **Financial Record-Keeping and Reporting**—The Grantee hereby agrees to record, classify, and report all Tamkeen-financed costs in separate and segregated grant-specific financial accounts. For purposes of control and review, this may be a simple dual-entry ledger and journal system that meets generally accepted accounting standards. With reference to Annex A, the grantee agrees to meet and maintain the standards as set forth under OMB Circular A-110, Subpart C, Financial and Program Management. A grantee is required to maintain all grant-related financial records in accessible and auditable condition for three years after the completion of the grant activity. Furthermore, with reference to Annex I, the Grantee hereby agrees to record, classify, and report all payment of foreign taxes assessed by the Palestinian Authority on commodity purchase transactions, as set forth in Section 579 of the FY 2003 Foreign Operations Appropriation Act.
29. **Conflict of Interest**—All CSO staff involved with a Tamkeen-financed grant activity must be free of real or apparent conflict of interest.
30. **Right of Inspection**—The Grantee agrees that Tamkeen’s Agent (or his/her designated auditor) will have unrestricted access to all financial records, reports, and supporting documentation related to Tamkeen funds. USAID will also have direct and unrestricted access to the grantee’s Tamkeen-related financial records, reports, supporting documentation, etc.
31. **Arbitration**—In the event that any dispute arises concerning any aspect of this *Grant Agreement* that is not specifically addressed in these *Terms & Conditions*, it is hereby agreed that the matter will be presented to the Tamkeen Grants Committee, and such committee will be the final and binding arbitrator of such dispute. The USAID representative will chair the committee and will have final authority in resolving disputes.
32. **Modification**—This *Grant Agreement* may only be modified by issuance of a formal written *Grant Agreement Modification Notice* jointly endorsed by the Grantee’s Agent and Tamkeen’s Agent.
33. **Grant Termination or Suspension**—The Grantee agrees that this *Grant Agreement* may be suspended for a specified or indefinite period within fifteen (15) days after the mailing of a registered letter by Tamkeen’s Agent to the Grantee’s official address as listed in Item 2. Termination may be for:
- **Material Failure**—Tamkeen may terminate the grant at any time, in whole or part, upon written notice to the grantee, whenever it is determined that the grantee has materially failed to comply with the terms and conditions for the award.
  - **With Consent of Grantee**—Tamkeen may terminate the grant, in whole or in part, with consent of the grantee. Both parties shall agree upon termination conditions, including effective date and, in case of partial terminations, the portion of the award to be terminated.
  - **Upon Request of the Grantee**—The grantee may terminate the award in whole or in part upon sending a written notice to Tamkeen. The notice must specify the reason for termination, the effective date, and, in case of partial termination, the portion to be terminated. If, in the opinion of Tamkeen, a partial termination will mean that the purpose of the grant will not be achieved, Tamkeen may terminate the award in accordance with A or B above.
  - **U.S. National Interest**—If at any time USAID determines that continuation of all or part of the funding for a grant should be suspended or terminated because such assistance would not be in the national interest of the United States, or would be in violation of an applicable law, USAID may instruct Tamkeen to suspend or terminate the grant in whole or in part on an immediate basis.
34. **U.S. Government Funding**—In the event the grantee’s overall position with respect to U.S. government funding from all sources changes in terms of amount (up or down) or composition (grant, cooperative agreement or contract), the grantee must notify Tamkeen in writing within ten (10) days of such change and describe the nature of the change.
35. **Prohibition against Support for Terrorism**
- a) The Grantee is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the grantee to ensure compliance with these Executive Orders and laws.
  - b) One of the applicable orders is Executive Order 13224, dated September 24, 2001. The web site of the Office of Foreign Assets Control (OFAC), of the Department of Treasury, contains the text of that order and a list of the individuals and entities

designated thereunder. It also contains lists of individuals and entities designated under other applicable statutes, regulations and Executive Orders. See <http://treasury.gov/offices/enforcement/ofac/sanctions/terrorism.html>.

c) USAID reserves the right to review and either approve or reject the following subawards if proposed under this agreement: (i) any contract or subcontract in excess of \$100,000 with a non-U.S. organization or individual; and (ii) any grant or subgrant to a non-U.S. organization, regardless of the dollar value. Furthermore, the written consent of USAID is required before any other form of assistance, whether cash or in-kind, may be provided to a non-U.S. organization or individual. This includes, for example, renovation of an NGO's facilities, repair or replacement of a company's equipment, and training activities (other than training in West Bank/Gaza lasting two weeks or less). No approval (or failure to disapprove) by USAID shall relieve the contractor/recipient of its legal obligation to comply with applicable Executive Orders and laws.

d) The contractor/recipient and each subrecipient of a subaward described in the preceding paragraph agrees to promptly notify USAID's technical officer (CTO) (through Tamkeen) in the event of any significant change in its activities or management, including any significant change in its "key individuals". For purposes of this requirement, "key individuals" means (i) the program manager for the USAID-financed program; (ii) the principle officer and deputy principle officer of the organization (e.g., executive director, deputy director, president, vice president); (iii) principle offices of the organization's governing body (e.g. chairman, vice chairman, treasurer and secretary of the board of director or board of trustees); and (iv) any other person with significant responsibilities for administration of USAID-financed activities and resources.

e) This provision, including this paragraph (e), shall be included in all contracts, subcontracts, grants and subgrant issued under this contract/agreement.

36. **Required Certifications**—The following certifications are required by U.S. law to be signed by each grantee as a condition of the grant.

- Certification Regarding Terrorism Financing
- Certification Regarding Lobbying
- Recipient Self-Certification on Compliance

37. **Publications and Media Releases**—The grantee hereby agrees to provide required attribution to USAID-funding for any publications and media materials produced under this grant, in accordance with the instructions found in Section 5.5 and Annex E of the Simplified Grants Manual.

## STATEMENT OF AGREEMENT

If after having reviewed all of the *Basic Information* and the *Terms & Conditions* of this *Grant Agreement*, you in your capacity as your organization's designated Agent fully and unconditionally agree with all of the above, you may enter into this *Grant Agreement* with the Tamkeen project by initialing each page and affixing your signature and your organization's official seal below.

**Date of Effect for *Grant Agreement*** \_\_\_\_\_

**On Behalf of Grantee:**

**On Behalf of Tamkeen:**

\_\_\_\_\_  
Seal:

\_\_\_\_\_  
Seal:

**Distribution:**

- One original copy to Grantee
- One original copy to Tamkeen

## F. Simplified Grant Activity Monitoring Form

The *Grant Activity Monitoring Form* is an internal Tamkeen document that records and documents all CSS site visits (see Section 7.2.4) in a standard format that is keyed to Sections II, III, and V of the approved grant application (i.e., work plan). The form also serves as a primary support document for the *Grant Tranche Payment Form*. It is included in this manual for CSO information purposes. If during the course of the site visit the CSS detects any problems, a comprehensive explanation will be noted by the CSS on this form, and appropriate action will be taken to address the problem.



### TAMKEEN SIMPLIFIED GRANT ACTIVITY MONITORING FORM

Grant No. \_\_\_\_\_ Organization \_\_\_\_\_  
 Grant Title \_\_\_\_\_  
 Date \_\_\_\_\_ ( ) Visit or ( ) 3rd party Name \_\_\_\_\_  
 Activity Start Date \_\_\_\_\_ Grantee Site Rep. \_\_\_\_\_  
 This is the ( ) 1st ( ) 2nd ( ) 3rd or \_\_\_\_\_ Monitoring to activity/Grantee  
 Grantee is engaged with Implementation Plan Task Numbers \_\_\_\_\_  
 Grantee has completed Milestone Numbers \_\_\_\_\_

Grant Activity Implementation Assessment	Yes	No
<b>Grant Application Section II – Program Description –</b> Grantee compliance/adherence is assessed as being satisfactory for: <input type="checkbox"/> Statement of grant objective (#6) <input type="checkbox"/> Statement of verifiable results (#7) <input type="checkbox"/> Methodology for measurement (#8) <input type="checkbox"/> Relationship to Tamkeen purpose and results (#10) <input type="checkbox"/> Identification of beneficiaries (#11) <input type="checkbox"/> Sub-IR is clearly identified and understood by grantee personnel <input type="checkbox"/> Performance monitoring data collection element(s) has been selected <input type="checkbox"/> Performance data are being collected		
<b>Grant Application Section III – Implementation Plan –</b> Progress to date is assessed as being satisfactory for (#13): <input type="checkbox"/> Responsible parties are engaged <input type="checkbox"/> Tamkeen resources are being applied <input type="checkbox"/> Non-grant resources are being applied <input type="checkbox"/> Work is according to schedule <input type="checkbox"/> Milestone(s) is in accordance with plan <input type="checkbox"/> Activity will be completed on schedule (#15) <input type="checkbox"/> Assumptions and contingencies remain valid as listed (#16)		
<b>Grant Application Section V – Cost Realism –</b> There is no observable indication (i.e., negative assurance) that: <input type="checkbox"/> Contributions are not being made as defined (#20, 21, 22) <input type="checkbox"/> Long-term recurrent commitments are accruing to Tamkeen (#23) <input type="checkbox"/> The proposed expenditure schedule will require material modification (#24, 25)		

All "NO" responses require clarification (**on reverse**), and if required, a recommended curative action plan.

Overall, my assessment is that the grantee's progress to date is satisfactory: ( ) Yes ( ) No  
 Prepared by \_\_\_\_\_ Initial \_\_\_\_\_ Date \_\_\_\_\_

cc: Grant Activity File / Grantee / Director of Field Operations

## **G. Grant Tranche Payment Request Form**

### **G.1. Purpose**

The Grant Tranche Payment Request Form is used to process all tranche reimbursements (payments) to grantees. The form provides a standard format that is keyed to the grant award. A copy of the last *Grant Activity Monitoring Form* on record supports the form. It is preferable that the Monitoring Form directly relate to the achievement of the tranche payment element milestone. However, this may prove impossible in some cases.

### **G.2. Instructions by Section**

The majority of the form is self-explanatory. However, it should be noted that it is essential that all data in the matrix (Tranche Payment No., Milestone Description, and Approved Amount) be in full agreement with the grant award and its incorporated documents (e.g., approved Grant Financial Plan Summary Form).



**G.3. Grant Tranche Payment Request Form**

**TAMKEEN**  
**GRANT TRANCHE PAYMENT REQUEST FORM**

Grant No. \_\_\_\_\_ Date \_\_\_\_\_

Grantee Name \_\_\_\_\_

Grant Activity Title \_\_\_\_\_

**Tranche Payment Elements**

Tranche Payment #	Milestone Description	Financial Plan Approved Tranche Payment Amount (USD)	Actual Expenditure Amount (USD)	Variance (Approved-Actual) (USD)

Submitted for Payment—The above presented tranche payment milestone has been achieved in accordance with all terms and conditions stated in the Tamkeen grant award and all incorporated documents, including the approved grant application with implementation and financial plans. Furthermore, the amount of the tranche payment requested is consistent with actual expenditures in activity implementation, in accordance with the attached financial summary report. Any over-expenditure or surplus remaining of 10% or more of the tranche payment amount has been clarified in the attached alternative plan, which has been approved by Tamkeen.

Grantee's Agent \_\_\_\_\_ Date \_\_\_\_\_

**Certified**—I have reviewed the above Tranche Payment Elements and have found them to be accurate and complete with respect to my grant file records. My last grantee monitoring was on \_\_\_\_\_. Based on the information collected at that time, and as documented in the attached Grant Activity Monitoring Form, it is fair and reasonable to assume that the milestone has been achieved as specified in the grant agreement.

Civil Society Specialist \_\_\_\_\_ Date \_\_\_\_\_  
 Senior Civil Society Specialist \_\_\_\_\_ Date \_\_\_\_\_

DFO _____ Reviewed	Financial Officer _____ Reconciled	DFA _____ Approved
Total Grant USD	_____	
Cumulative Payments USD	_____ (inclusive of this tranche)	
Balance USD	_____	

## **H. Grant Agreement Modification Notice**

### **H.1. Purpose**

The *Grant Agreement Modification Notice* is used to process all grant modifications using a standard format referring to sections within the original award that have been modified (see Section 7.3.2). The use of the form is predicated on the practice that all requests for modification submitted to Tamkeen by the grantee are in written format keyed to the original grant award, including incorporated documents such as the grant application (technical and cost proposals). Therefore, select technical elements of the original grant application can be restated in the grantee's modification request and all ensuing cost implications (up or down) presented in a revised Financial Plan. The Modification Notice addresses changes by incorporating the documents that were submitted to Tamkeen and subsequently reviewed and approved during the change process.

### **H.2. Instructions by Section**

Normally, the first element under Modifications refers to the incorporated document(s) that presents the technical changes to the grant activity. The second element incorporates the revised Financial Plan. The third element states that: "Otherwise, all Basic Information and Terms & Conditions of the referenced Grant Agreement remain as stated without modification."

**H.3. Grant Agreement Modification Notice**

**TAMKEEN**  
**GRANT AGREEMENT MODIFICATION NOTICE No. 1**  
**GRANT AGREEMENT No. 01-XX**

*“Name of Grantee”*

With reference to Item No. 32 of the Grant Agreement that your organization entered into with the Tamkeen project, the Agreement is hereby modified as detailed below:

**Modifications**

1. Description of technical changes:
  
2. Item No. 13 (Total Tamkeen Commitment) is increased/decreased to read:
  
3. Otherwise, all Basic Information and Terms & Conditions of the referenced Grant Agreement remain as stated without modification.

**Statement of Agreement**

If, after having reviewed all of the above modifications in your capacity as your organization's designated Agent, you fully and unconditionally agree with all of the above, you may enter into this Grant Agreement Modification with the Tamkeen project by affixing your signature and your organization's official seal below.

**Date of Effect for Grant Agreement Modification** \_\_\_\_\_

**On Behalf of Grantee:**

\_\_\_\_\_

Seal:

**On Behalf of Tamkeen:**

\_\_\_\_\_

CHIEF OF PARTY

Seal

## **I. Grant Completion Certificate**

### **I.1. Purpose**

The *Grant Completion Certificate* serves two purposes. First, it brings to closure the agreement of support established by means of the grant award made by Tamkeen to the grantee, with the exception of Tamkeen's right of inspection (see *Grant Agreement*, Item 30). Second, after obtaining financial, technical, and administrative clearances from cognizant Tamkeen staff, the Grants Committee can officially close the grant file.

### **I.2. Instructions by Section**

The first section is prepared by the cognizant CSS with cooperation from the grantee's agent. The main aspects of the grant agreement are identified—technical, financial, and reporting—and brought to mutually agreed-upon closure. The grantee's agent and the Director of Finance & Administration jointly certify completion and agree that neither party has any further obligation of any nature with regard to the Grant Agreement.

The second part of the form is used to process the official Tamkeen internal closure of the grant file. Cognizant staff—financial, technical, and administrative—signs off on the closure. The CSS certifies that the grant file is current and complete. The Grants Committee, based on the joint Tamkeen-grantee agreement of closure and the clearance of cognizant staff, can endorse the official closing of the grant file.

**I.3. Grant Completion Certificate**

**TAMKEEN  
GRANT COMPLETION CERTIFICATE**

Grant No.:

Grant Title:

Grantee Name:

With reference to the Simplified Grant Agreement that was entered into with Tamkeen, in my capacity as the Grantee Agent (see Grant Item No. 4), I hereby certify that:

**Technical Completion**—With reference to all material aspects of our technical proposal, and any subsequent jointly agreed-upon modification(s), my organization has achieved the stated grant objective and verifiable results as presented in our Grant Application (see Items Nos. 7 and 8), with the exception of the following:

\*\*\*\*\* Nil \*\*\*\*\*

**Financial Plan**—With reference to our Grant Financial Summary Plan (see Grant Agreement Item No. 13) and the Financial Summary Plan Reconciliation, the final reconciliation is as follows:

Total Approved	Total Expended	Total Reimbursed	Variance	Action Required or Resolution Agreement

**Grant Activity Completion Report**—With reference to Grant Item No. 23, the subject report has been submitted and accepted by the Tamkeen cognizant Civil Society Specialist.

Thus, it is hereby agreed by the grantee and Tamkeen that all technical, administrative, and financial aspects of the referenced Tamkeen Simplified Grant Agreement, with the exception of Grant Item No. 30, have been brought to a condition of completion, and as such, neither the Grantee nor Tamkeen has any further obligations of any nature with regard to the Grant Agreement.

**On Behalf of the Grantee:****On Behalf of Tamkeen:**


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 Grantee Agent

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 Director of F&A

Dated: \_\_\_\_\_

### Tamkeen Internal Closure

Executive summary of grant achievements:

CSS Close-out	Yes	No	Initial
<i>Grantee Activity Completion Report</i> has been received, reviewed, and accepted by Tamkeen.			
Site monitoring and evaluation reports are on file.			
Grant file is complete, accurate, and ready for closure.			
PMP requirements are complete.			
Grant financial records have been reconciled and there are no outstanding issues.			

Financial Reconciliation Close-out Clearance \_\_\_\_\_  
Financial Officer

Technical Close-out Clearance \_\_\_\_\_  
Director of Field Operations

Administrative Close-out Clearance \_\_\_\_\_  
Director of F&A

### Grants Committee Close-out Clearance

USAID \_\_\_\_\_ CARE \_\_\_\_\_ AMIDEAST \_\_\_\_\_ Chemonics \_\_\_\_\_

Date of File/Grant Closure \_\_\_\_\_

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## Annexes

## ANNEX A

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### OMB Circulars A-110, A-122, and A-133 Compliance Overview

USAID's primary source of guidance for grants-making is Section 303 of the Automated Directory System (ADS). ADS 303 references three regulatory documents issued by the U.S. government's Office of Management and Budget (OMB):

- OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Educations, Hospitals, and Other Nonprofit Organizations
- OMB Circular A-122: Cost Principles for Nonprofit Organizations
- OMB Circular A-133: Audits of States, Local Governments, and Nonprofit Organizations

Tamkeen is required to ensure that all organizations receiving USAID grant funds comply with the guidance found in these circulars, as applicable to the respective terms and conditions of their grant awards. This annex provides grantees with a synopsis of the requirements contained in the three OMB circulars.

Note: This annex's sole purpose is to provide an overview of the circulars. It is not intended or meant to be a definitive reference source for issues concerning regulatory compliance. The definitive reference sources are the OMB circulars. Full text version of the circulars can be found at <http://www.whitehouse.gov/OMB/circulars/a110/a110.html> (or a122 or a133).

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#### OMB Circular A-110

Sets forth standards for the uniform administration of grants to nonprofit organizations. The circular is divided into four subparts. With respect to a Tamkeen grant award and compliance requirements, the grantee should focus on Subpart C, which is subdivided as follows:

- Financial and Program Management
- Property Standards
- Procurement Standards
- Reports and Records
- Terminations and Enforcement

*Financial and Program Management.* This section establishes the following standards:

1. The grantee has the capacity to relate financial data to performance data and develop unit cost information.
2. The grantee's financial management system provides for:
  - a) Accurate, current, and complete disclosure of financial results
  - b) Records that adequately identify the source and application of funds
  - c) Effective control over and accountability for all funds, property, and other assets
  - d) Comparison of outlays with budget amounts
  - e) Written procedures for determining reasonableness, allocability, and allowability
  - f) Accounting records that are supported by source documentation



*Property Management.* This section establishes the following standards:

1. The grantee's property records are maintained accurately and include specific information such as description of equipment, source, etc.
2. The grantee has a policy and procedure to conduct physical inventory.
3. The grantee safeguards property against loss, damage, or theft.
4. The grantee keeps equipment in good condition.

*Procurement.* This section establishes the following standards:

1. The grantee has written standards of conduct governing the performance of employees engaged in procurement.
2. Grantee policy prohibits an employee from being involved in procurement if a real or apparent conflict of interest is involved.
3. The grantee conducts procurement transactions with open and free competition.
4. Grantee solicitations clearly establish all requirements that a bidder must fulfill.
5. The grantee has written procurement procedures that avoid unnecessary and duplicative purchases, etc.
6. Grantee solicitations provide clear and accurate description of requirements, evaluation criteria, etc.
7. The grantee uses appropriate procurement instruments that promote the best interest of the project.
8. The grantee only contracts with responsible contractors that perform successfully.
9. The grantee performs and documents cost or price analysis.
10. The grantee's procurement records and files are thorough and complete.
11. The grantee maintains a system for contractor administration.
12. Grantee contracts define a sound and complete agreement and contain provisions for legal remedies and/or termination by the grantee.

*Reports and Records.* This section establishes that the grantee's financial management system has the capacity to provide information and prepare timely and accurate reports as required by the award.

*Termination and Enforcement.* This section sets forth uniform termination and enforcement procedures:

- By the awarding agency if a grantee materially fails to comply with the terms and conditions of the award
- By the awarding agency with the consent of the grantee
- By request from the grantee

## OMB Circular A-122

For expenditure under a grant to be allowable, it must meet the criteria of this Circular. Cost principles provide guidance on making determinations.

Allowable costs are:

- Reasonable for the performance of the award
- Allocable
- In conformance with limitations/exclusions in the award
- Consistent with the organization's policies and procedures
- Accorded consistent treatment
- In accordance with generally accepted accounting principles (GAAP) or international accounting standards (IAS)
- Not used to meet other cost-sharing requirements
- Adequately documented
- Reviewed and approved by management

Reasonable costs are:

- Ordinary and necessary
- Processed at arm's length with sound business practices
- Not a significant deviation from an organization's established practices and procedures
- Not in excess of what would be incurred by a prudent person under the prevailing circumstances

Allocable costs are:

- Charged to a cost objective on the basis of relative benefit received
- Incurred specifically for the award and in accordance with the budget in the award agreement or ...
- To the benefit of the award and other work and can be distributed in reasonable proportion in accordance with relative benefit received
- Treated consistently with other costs for the same purpose in like circumstances

Costs are adequately supported by:

- Original legible receipts, vouchers, purchase orders, contracts, delivery orders, timesheets, etc, that fully explain who, when, where, why, how much, etc.

Costs are reviewed and approved in a timely manner by a designated management official with assigned authority and responsibility.

OMB Circular A-122 lists 56 "Selected Items of Cost":

- They are in alphabetical order starting with Advertising and ending with Trustees.
- All items contain explanatory notes.
- A cost can be allowable under one condition but unallowable under another condition.
- To determine allowability, you must read all the notes provided.

## OMB Circular A-133

This Circular establishes standards for auditing of states, local governments, and nonprofit organizations expending federal awards, whether they are direct grantees of federal funds or subgrantees expending federal funds received from a pass-through entity. Entities that expend \$300,000 or more per year in federal funds (\$500,000 or more per year for all fiscal years ending after December 31, 2003) must have an audit pursuant to this Circular. An A-133 audit focuses on:

- Understanding and assessing internal controls
- Testing for compliance with laws and regulations
- Determining whether financial statements fairly present the financial position and the results of the grantee's operation in accordance with GAAP or IAS

*Internal Controls.* Such controls safeguard federal funds through the application of:

- GAAP or IAS
- Prudent, sound business practices within the context of the prevailing operational environment

*Compliance.* This involves testing to determine if:

- The grantee is following OMB A-122 and ...
- Applicable local laws, such as labor code and ...
- Contract-specified additional cost-related principles or conditions

*Financial Statements*

- If the internal control structure is working properly and ...
- The grantee is complying with all laws and regulations and ...
- Is faithfully administering the terms and conditions of the award and ...
- GAAP or IAS is being applied and ...
- Management in good faith represents the above ...
- Then the financial statements should fairly present the results of operations

## ANNEX B

### Tamkeen Training Standards

<p><b>1. Tamkeen training is needs-driven, performance-based and results-oriented.</b></p>	<ul style="list-style-type: none"> <li>• Tamkeen training is not an end in itself: Tamkeen training is a means—often among several—for achieving a result that contributes to the Tamkeen project's purpose.</li> <li>• Tamkeen training is performance-based: After training, the trainee can perform a task(s) at a level he/she could not prior to the training.</li> <li>• Tamkeen training addresses training-based problems and recognizes that training will not solve non-training centered problems (e.g., incentive, equipment, or policy problems).</li> <li>• Tamkeen training recognizes the fact that training alone rarely solves performance problems.</li> <li>• Tamkeen training recognizes the difference between organizational performance improvement and trainee performance improvement.</li> <li>• Tamkeen training is demand-driven, not supply-driven.</li> <li>• Tamkeen training is based on a careful analysis of target audience needs.</li> <li>• Tamkeen training needs assessments include all major stakeholders.</li> <li>• Tamkeen training takes into account the expectations of both the trainee and his/her supervisor.</li> </ul>
<p><b>2. Tamkeen training is based on sound design parameters that support the achievement of expected results.</b></p>	<ul style="list-style-type: none"> <li>• Tamkeen training is designed and developed based on the findings of a training needs assessment.</li> <li>• Tamkeen training is designed, developed, and delivered using a structured approach with well-defined and integrated stages, such as the Instructional System Design (ISD) advocated by the American Society for Training and Development (ASTD).</li> <li>• Tamkeen training objectives close performance gaps.</li> <li>• Tamkeen training is defined in terms of knowledge, skills, and attitudes (KSAs) that the trainee must acquire to improve performance.</li> <li>• Tamkeen training recognizes that new KSAs must be compatible with existing habits and values, and only require a reasonable amount of personal change from trainees.</li> <li>• Tamkeen training analyzes and selects the right presentation option (e.g., course or workshop); the right approach (e.g., lecture vs. case studies); and the right sequencing (e.g., lower- to higher-level skills, simple to complex) required to optimize impact in a cost-effective manner.</li> </ul>

<p><b>3. Tamkeen training makes use of a comprehensive set of materials that supports identified objectives and is relevant to the trainees' context.</b></p>	<ul style="list-style-type: none"> <li>• Tamkeen training materials and activities have stated purposes and objectives.</li> <li>• Tamkeen training materials provide all the necessary resources for the trainee and the trainer, as well as for evaluation purposes.</li> <li>• Tamkeen training materials are well-suited to the particular cultural and/or performance context of the trainees.</li> <li>• Tamkeen training materials are well-organized, logically developed, and carefully graded.</li> <li>• Tamkeen training activities encourage a variety of interaction patterns for maximum involvement and benefit on the part of the trainees.</li> </ul>
<p><b>4. Tamkeen training delivery is particularly suited to the learning styles and expectations of adult trainees.</b></p>	<ul style="list-style-type: none"> <li>• Tamkeen training is designed and delivered using adult learning principles.</li> <li>• Tamkeen training recognizes that, from a change management perspective, trainees must be able to see a clear relative advantage (personal payoff) from the training.</li> <li>• Tamkeen training recognizes that the credibility of the trainer is essential to the success of any training activity.</li> <li>• Tamkeen training recognizes that ongoing monitoring contributes to the consistent quality of the training and the achievement of its results.</li> </ul>
<p><b>5. Tamkeen training integrates various levels of evaluation to ensure the achievement of results.</b></p>	<ul style="list-style-type: none"> <li>• Tamkeen training recognizes that trainees perform better when they are satisfied with the training.</li> <li>• Tamkeen training evaluates (measures) the acquisition of KSAs on a pre- and post-training basis.</li> <li>• Tamkeen training recognizes the importance of evaluating post-training application and impact in order to verify the achievement of expected results.</li> </ul>
<p><b>6. Tamkeen training is based on sound project management principles and a clear implementation plan.</b></p>	<ul style="list-style-type: none"> <li>• Tamkeen training is dependent on effective training teams that are carefully selected to perform a given set of tasks over a given period of time.</li> <li>• Tamkeen training recognizes that the qualifications of a subject matter expert, a training specialist, and a trainer are unique to each position.</li> <li>• Tamkeen training embraces the concept of a total training solution in that one organization has overall responsibility for ensuring that all aspects of the delivery—technical, administrative, and logistical—are integrated, sound, and complete.</li> </ul>

## ANNEX C

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### Tamkeen Performance Monitoring Plan Overview

All Tamkeen grantees are required to complete the Grant Vital Statistics form upon completion of each grant. The Tamkeen CSS assigned to each grantee will help with its completion and review the data submitted.

The form is an integral part of Tamkeen's performance monitoring plan (PMP). The PMP is designed to generate data on the overall success of the project to demonstrate the direct benefits of the grants to the Palestinian CSO community. Demonstrating success is a key element in ensuring additional funding for the project and in reviewing its overall achievements.



### Grant Vital Statistics Form

**Grant Number**

This form should be filled out and signed by the CSO representative as an integral part of the grant completion report. In doing so, the CSO is advised to refer to the User's Manual (Section II) for guidance. Further explanations or clarifications will be provided by the grant CSS who will supervise the proper completion of this form.

**CSO Name:**

**CSO Number:**

**Name of CSO Representative:**

**Signature:**

**Date:**

<b>Tamkeen internal use</b>	Information reviewed by Tamkeen CSS (Name):  Initials:  Date:
	Information entered in PMP spread sheet (Y/N):  Date:

Part One: CSO Information	
CSO Name: .....	
Phone number: ____/____/____	
Fax number: ____/____/____	
Number of full-time staff:	
Establishment date: ____/____/____	
Main office location (district): .....	
Email: .....	
Part Two: Grant Information	
Grant number:	<div style="border: 1px solid black; width: 100px; height: 30px;"></div>
Grant starting date: ____/____/____	
Actual grant completion date: ____/____/____	
Did the grantee receive a simplified Tamkeen grant before?  1. Yes          2. No	
Is this a renewal of a previous grant?  1. Yes          2. No	
Part Three: Sub-IR 3.1.1 Increased Capacity of CSOs to Participate in Public Discourse	
Q1. How many grant draft applications were submitted for this grant?	
Q2. Does the grant involve any training activity?  1. Yes          2. No (Skip to Q4)	
Q3. If the answer to the above question is "Yes," was the training designed according to Tamkeen Training Best Practices (TBP)?  1. Yes          2. No	
Q4. Has the CSO applied Tamkeen Training Best Practices in training efforts <b>not funded</b> by a Tamkeen grant (during or after the grant given by Tamkeen)?  1. Yes          2. No	
Q5. Did the number of constituents served by the CSO increase as a result of implementation of the grant? (During or after grant implementation, as compared to before the start of implementation)  1. Yes          2. No (Skip to Q7)	

Q6. If the answer to the above question is "Yes," by what percentage did the number of constituents served by the CSO increase?	
1. None    2. Less than 25 percent    3. 25 to 50 percent    4. More than 50 percent	

<b>Part Four:</b> <b>Sub-IR 3.1.2, CSOs Effectively Aggregate and Articulate Citizen Issues</b>	
Q7. Did the grant involve the use of mechanisms to solicit constituent opinion?  1. Yes                      2. No (skip to Q9)	
Q8. If the answer to the above question is "Yes," how many people were reached through these mechanisms? [Please attach a breakdown, but event, of the number of attendees and/or constituents reached through various mechanisms.]	
Q9. Under the grant, did the CSO address a public issue on behalf of its constituents with a view toward changing governmental policy and/or the actions of government?  1. Yes                      2. No (Skip to Q11)	
Q10. If the answer to the above question was "Yes," did the CSO's actions result in a change in government policy and/or the actions of government (at any level)?  1. Yes                      2. No (Skip to 12)  If the answer to the above question is "Yes," please provide a short description of the actions taken and how the policy or actions of government were changed. Report on a separate sheet of paper if necessary.	



Part Five: Sub-IR 3.1.3 CSOs Effectively Disseminate Information to Citizens on Public Issues			
Q11. Does the grant involve information dissemination activities?			
1. Yes      2. No			
Q12. If the answer to the above question is "Yes," record below the frequency of each mechanism, the number of hours, and the number of people reached.			
Information Dissemination Mechanisms	Frequency	# of Hours	# of People
1. Structured forums: seminars, symposia, workshops, panel discussions, interviews, focus groups			
2. Public forums: town hall and other similar meetings			
3. Publications: reports, books, newsletters, brochures, etc			
4. Drama: theater, story telling, films			
5. Others: Specify.			
a. .....			
b. .....			
c. .....			
Q13. Did the CSO use radio to disseminate information?			
1. Yes      2. No (Skip to Q15)			
Q14. If the answer to the above question is "Yes," how much airtime was used (number of minutes)?			
Q15. Did the CSO use television disseminate information?			
1. Yes      2. No			
Q16. If the answer to the above question is "Yes," how much airtime was used (number of minutes)?			



## Grant Vital Statistics Form: User's Manual

Part One: CSO Information
<p>Name of CSO:</p> <p>This is the official name, in Arabic or English, which appears in the registration documents or the CSO's formal business transactions. A code number, unique to each CSO, will be added by the Tamkeen staff.</p>
<p>Phone number:</p> <p>Enter one telephone number, preferably the one used most frequently.</p>
<p>Number of full-time staff:</p> <p>This is the number of full-time salaried staff <b>on the day the grant contract was signed</b>, prior to hiring staff to conduct activities funded under the grant.</p>
<p>Establishment date:</p> <p>This is the date on which the organization had its first registration as a civil society organization regardless of the registering authority. It is not necessarily the date the CSO was registered according to the new Palestinian NGO laws.</p>
<p>Main office location (district):</p> <p>Write down the name of the official Palestinian district in which the CSO has its main office (as opposed to satellite offices). Tamkeen will provide a code number that corresponds to the districts.</p>
Part Two: Grant Information
<p>Grant number:</p> <p>This is Tamkeen's official number for the grant. Tamkeen can add this information if it is not known by the CSO.</p>
<p>Grant starting date:</p> <p>This is the start date for the grant as specified in the contract.</p>

<p>Actual completion date:</p> <p>This is the actual date on which all grant activities were completed, as opposed to the date specified in the contract.</p>
<p>Did the grantee receive a simplified grant before?</p> <p>Has the grantee received another grant from Tamkeen previously for a different project?</p>
<p>Is this a renewal of a previous grant?</p> <p>This question asks whether the grant is a renewal of a previous grant, in accordance with Tamkeen's definition of renewal.</p>

<p><b>Part Three: Sub-IR 3.1.1</b></p> <p><b>Increased Capacity of CSO to Participate in Public Discourse</b></p>
<p>Q1. How many grant draft applications were submitted for this grant?</p> <p>How many distinct versions of the grant application were submitted by the CSO? One should not count minor changes and editorial modifications as a "distinct" version; only versions reflecting substantive changes should be counted.</p>
<p>Q2. Does the grant involve any training activity?</p> <p>This refers to structured training activities included in the grant proposal and specified as such. Training activities should be distinguished from awareness raising activities and other activities designed to convey information. CSOs with questions on what constitutes a training activity should consult Tamkeen.</p>
<p>Q3. Was the training designed according to Tamkeen Training Best Practices?</p> <p>Were the training activities designed with the five elements of Tamkeen's Training Best Practices? In accordance with Tamkeen's procedures, this should have been ascertained by the CSO and Tamkeen at the time the grant was proposed.</p>
<p>Q4. Has the CSO applied Tamkeen Training Best Practices in training efforts <b>not funded</b> by Tamkeen (during or after the grant given by Tamkeen)?</p> <p>This question asks the CSO to report on whether it used the five elements of Tamkeen's Training Best Practices to plan and conduct other training programs during or after the completion of the Tamkeen grant. These are training programs <b>not</b> funded by Tamkeen.</p>
<p>Q5. Did the number of constituents served by the CSO increase as a result of the grant?</p> <p>In the course of implementing the grant, did the CSO reach new target populations that it previously did not serve, thus increasing its influence in the community. In other words, was the number of constituents served by the CSO higher during and after grant implementation than before activities were initiated?</p>
<p>Q6. By what percentage did the number of constituents served by the CSO increase?</p> <p>The CSO should approximate the extent to which the population it serves increased as a result of grant implementation. Therefore, the CSO should take the approximate number of people it served <i>during the grant</i> minus the number it served <i>before the grant</i>. Then take the result and <i>divide by the number served before the grant</i> times 100 to yield a percentage.</p> <p>The Tamkeen CSS may request additional information on this question to verify the response.</p>

**Part Four: Sub-IR 3.1.2**  
**CSOs Effectively Aggregate and Articulate Citizen Issues**

Q6. Does the grant involve the use of mechanisms to solicit constituent opinion? (see Q8 below)

“Mechanisms to solicit constituent opinion” are those mechanisms used to elicit input from the community (in a consultative way) on the issue(s) of concern under the particular grant. These mechanisms should be specifically designated as such in the grant proposal and not be “side benefits” of other activities. For example, a typical mechanism of this sort would be a workshop for students to identify problems affecting youth and propose solutions that will be used later in advocacy activities. Questions on what constitutes a such a mechanism should be referred to Tamkeen.

Q7. If the answer to the above question is “Yes,” how many people were reached through these mechanisms?

In responding to this question, the CSO should estimate the number of people reached directly through these mechanisms using its records of meeting, workshops, and other events conducted under the grant. The CSO should supply documentation on these events to the Tamkeen CSS, allowing him or her to verify the results.

Q8. Under the grant, did the CSO address a public issue on behalf of its constituents with a view toward changing governmental policy and/or the actions of government?

The issues addressed could be major, like changes to national laws, or minor, like repairs to a road. The most important factor is whether the CSO targeted an issue of interest to its constituents with a view toward changing government policy and/or actions. The target of these efforts can be any level of government – national, regional (the governorate), or municipal.

Q9. If the answer to the above question was “Yes,” did the CSO’s actions result in a change in government policy and/or the actions of government?

A change in government policy and/or actions must be substantive and non-trivial in the judgment of the CSO, in discussions with the Tamkeen CSS. Changes could be as simple as getting police officers to take sign language courses in response to advocacy activities conducted by the hearing impaired, and as substantive as the implementation of new by-laws protecting the rights of the disabled. To count, these changes must result, at least in part, from the actions of the CSO and its constituents under the grant, but Tamkeen realizes that some changes result from the actions of multiple actors. It also realizes that the timeframes for many grants and complexity of the issues addresses precludes some grants from changing government policies.

If the answer to the above question is “Yes,” the CSOs should provide a short description of the policy or government action that was changed, and how this was achieved through the CSO’s actions under the grant. This description could be included in the space provided or on a separate piece of paper if it is more convenient. The responses will be reviewed by the Tamkeen CSS.

**Part Five: Sub-IR 3.1.3**  
**CSOs Effectively Disseminate Information to Citizens on Public Issues**

Q10. Does the grant involve information dissemination activities?

An activity is identified as an information dissemination activity if it is explicitly articulated as such in the grant application. Therefore, the existence of such activities should be apparent at the grant proposal stage. To count in this category, an activity must be specifically designed to disseminate information; the information dissemination aspect cannot be a mere off-shoot or secondary effect of some other activity. Publications and public presentations (such as in a town hall meeting or workshop) are good examples of such activities.

Q11. If the answer to the above question is “Yes,” then record below the frequency of each mechanism, the number of hours, and the number of people involved.

This information should be collected by the CSO over the course of the grant and documentation should be provided to the Tamkeen CSS, allowing them to verify the results.

“Frequency” is the number of different publications produced or events conducted. For example, if two town hall meetings are conducted, the result is 2; and if 10 different brochures are produced, the answer is 10.

“Number of hours” is only valid for events like town hall meetings and workshops. This question should be left blank in the case of publications. It is the total number of hours. Therefore, if two, two hour meetings were held, the total number of hours is four.

“Number of people” is the number of attendees in the case of meetings and workshops and exact number of copies distributed in the case of publications. Secondary readers of publications should not be counted. In the case of both events and publications, this question allows for double counting of the same person. For example, someone who attended a meeting and also received a publication would be counted in both areas. As with hours, this is the total number of people. Therefore, if 10 people attend one meeting and then 10 another meeting, the total number is 20.

In the “other” category, record additional activities that do not fall under the categories listed. Whether a particular activity is appropriate for inclusion here can be discussed with the Tamkeen CSS.

#### Q12-16. Radio and television

These questions specifically look to identify information dissemination using the mass media, either television or radio. Because airtime is the most common way of tabulating such activities, it is recorded separately from the “information dissemination mechanisms” listed in Question 11.

**ANNEX D****Sample USAID Vetting Form****Information About Proposed Activities**

The information requested below must be submitted to USAID with respect to: (a) each proposed grant or subgrant to a non-U.S. organization or individual, and (b) each proposed contract or subcontract in excess of \$25,000 with a non-U.S. organization or individual. No award may be made until USAID has provided written approval therefore.

1. Name of the prime contractor, grantee or recipient proposing the award: \_\_\_\_\_
2. Type of proposed award or other assistance (check one)  
       \_\_\_\_\_contract \_\_\_\_\_subcontract \_\_\_\_\_grant \_\_\_\_\_subgrant
3. Dollar amount and duration of proposed award: \_\_\_\_\_
4. Purpose of proposed award or assistance: \_\_\_\_\_
5. Organization (if any) proposed to receive award or other assistance:
  - a. Name: \_\_\_\_\_
  - b. Address: \_\_\_\_\_
  - c. Telephone: \_\_\_\_\_ d. Fax: \_\_\_\_\_
  - e. Brief statement of proposed awardee's mandate: \_\_\_\_\_
6. Full four-part name of each individual to receive training or other direct benefits or full name and title of each "key individual" (as defined below) of the organization named in 5 above:
  - a. \_\_\_\_\_
  - b. \_\_\_\_\_
  - c. \_\_\_\_\_
  - d. \_\_\_\_\_
  - e. \_\_\_\_\_
  - f. \_\_\_\_\_
  - g. \_\_\_\_\_
  - h. \_\_\_\_\_
  - i. \_\_\_\_\_
  - j. \_\_\_\_\_

"Key individual" means: (a) the program manager or chief of party for the USAID-financed program; (b) the principal officer and deputy principal officer of the organization (e.g., executive director, deputy director, president, vice president); (c) principal officers of the organization's governing body (e.g., chairman, vice chairman, treasurer, and secretary of the board of directors or board of trustees); and (d) any other person with significant responsibilities for administration of USAID-financed activities or resources.

## ANNEX E

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### Provision Regarding Publications and Media Releases

USAID Standard Provision 10 applies to publications financed by Tamkeen grants. A copy of the provision as it is applied to Tamkeen-funded grants follows.

#### **PUBLICATIONS AND MEDIA RELEASES (JUNE 1999)**

(a) USAID shall be prominently acknowledged in all publications, videos, or other information/media products funded or partially funded through this award, and the product shall state that the views expressed by the author(s) do not necessarily reflect those of USAID. Acknowledgments should identify the sponsoring USAID Office and Bureau or Mission as well as the U.S. Agency for International Development substantially as follows:

"This [publication, video or other information/media product (specify)] was made possible through support provided by the U.S. Agency for International Development/West Bank and Gaza, under the terms of Contract No. 294-C-00-00-00077-00. The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the U.S. Agency for International Development."

(b) Unless the recipient is instructed otherwise by Tamkeen, publications, videos, or other information/media products funded under this award and intended for general readership or other general use will be marked with the USAID logo and/or U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT appearing either at the top or at the bottom of the front cover or, if more suitable, on the first inside title page for printed products, and in equivalent appropriate location in videos or other information/media products. Logos and markings of co-sponsors or authorizing institutions should be similarly located and of similar size and appearance.

(c) The recipient shall provide Tamkeen one hard copy of all published works developed under the award. In addition, the recipient shall provide Tamkeen with one electronic copy of final documents, which Tamkeen will file with the USAID Development Experience Clearinghouse (DEC). Electronic documents may be submitted on 3.5" diskettes or as e-mail attachments, and should consist of only one electronic file that comprises the complete and final equivalent of the paper copy; otherwise, a hard copy should be sent. Acceptable software formats for electronic documents include Microsoft Word, WordPerfect, Microsoft Excel and Portable Document Format (PDF).

(d) In the event award funds are used to underwrite the cost of publishing, in lieu of the publisher assuming this cost as is the normal practice, any profits or royalties up to the amount of such cost shall be credited to the award unless the schedule of the award has identified the profits or royalties as program income.

(e) Except as otherwise provided in the terms and conditions of the award, the author or the recipient is free to copyright any books, publications, or other copyrightable materials developed in the course of or under this award, but USAID reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use the work for Government purposes.

(END OF STANDARD PROVISION)

## ANNEX F

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### Certification Regarding Terrorist Financing Implementing E.O. 13224

USAID requires that recipients sign the certification below as a prerequisite to receiving a grant from a U.S. Government source. This applies to CSOs receiving grants from Tamkeen.

#### **CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING E.O. 13224**

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient has not provided, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts.

2. Specifically, in order to comply with its obligations under paragraph 1, the Recipient will take the following steps:

- a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not appear (i) on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) on any supplementary list of prohibited individuals or entities that may be provided by USAID to the Recipient.

The Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

- b. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware or that is available to the public.
- c. The Recipient will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

- a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.
- b. "Terrorist act" means-



- (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
  - (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
  - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
- c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

**APPLICANT:**

Name: \_\_\_\_\_ Signature: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

**ANNEX G**

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**Certification Regarding Lobbying**

USAID requires that recipients sign the certification below as a prerequisite to receiving a grant from a U.S. Government source. This applies to CSOs receiving grants from Tamkeen.

**CERTIFICATION REGARDING LOBBYING****Certification for Contracts, Grants, Loans, and Cooperative Agreements**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**APPLICANT:**

Title: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_ Signature: \_\_\_\_\_

**ANNEX H**

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## Certification Regarding Recipient Compliance

USAID requires that recipients sign the certification below as a prerequisite to receiving a grant from a U.S. Government source. This applies to CSOs receiving grants from Tamkeen.

### **RECIPIENT CERTIFICATE OF COMPLIANCE**

To: Director of Finance and Administration  
Tamkeen

I, \_\_\_\_\_, \_\_\_\_\_, as a legally authorized  
Name (Printed or Typed) Title  
representative of \_\_\_\_\_  
Organization Name

do hereby certify that, to the best of my knowledge and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel and procurement under this agreement and I further certify that the organization is in compliance with those requirements.

I, we, understand that a false, or intentionally misleading, certification could be the cause for possible actions ranging from being found not responsible for this award to suspension or debarment of this organization in accordance with the provisions of USAID Regulation 8.

I, we, further agree to instruct the accounting firm that this organization retains to perform its annual audits, as required by OMB Circular A-133, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-133 audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Type or Print Name

\_\_\_\_\_  
Position Title

\_\_\_\_\_  
Date of Execution

## ANNEX I

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### Foreign Tax Reporting

In accordance with Section 579 of the FY 2003 Foreign Operations Appropriation Act, the grantee must track and maintain information related to the payment of foreign taxes assessed by the Palestinian Authority on commodity purchase transactions valued at \$500 or more financed with US foreign assistance funds. This information will be collected by Tamkeen from each grantee in accordance with the schedule and conditions set forth below. Further information can be found at <http://www.state.gov/m/rm/c10443.htm>.

(a) Interim and final reports: The grantee must annually submit two reports, in concurrence with the US Government fiscal year (October 1 – September 30), as follows:

- i. An interim report by November 17; and
- ii. A final, cumulative report by April 16 of the next year;

(b) Content of Report: The reports must be provided in the format provided by Tamkeen to each grantee at the time of each report submission and will include the following:

- i. Grantee name.
- ii. Contact name with phone, fax, and email.
- iii. Grant number
- iv. Amount of foreign taxes assessed by the Palestinian Authority on commodity purchase transactions valued at \$500 or more, financed under the grant agreement during the prior U.S. fiscal year;
- v. Only foreign taxes assessed by the Palestinian Authority, the foreign government receiving US assistance, is to be reported. Foreign taxes by a third party foreign government (i.e. Israel) are not to be reported.
- vi. Any reimbursement received by the grantee from the Palestinian Authority during the reporting period must be reflected.
- vii. Reports are required even if the grantee did not pay any taxes during the reporting period.
- viii. The final report is an updated cumulative report of the interim report.

(c) Definitions: For the purposes of this report:

- i. “Commodity” means any material, article, supply, goods, or equipment.
- ii. “Foreign taxes” means value-added taxes and customs duties assessed by the Palestinian Authority on a commodity. It does not include sales taxes.

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## Annexes

## ANNEX A

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### OMB Circulars A-110, A-122, and A-133 Compliance Overview

USAID's primary source of guidance for grants-making is Section 303 of the Automated Directory System (ADS). ADS 303 references three regulatory documents issued by the U.S. government's Office of Management and Budget (OMB):

- OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Educations, Hospitals, and Other Nonprofit Organizations
- OMB Circular A-122: Cost Principles for Nonprofit Organizations
- OMB Circular A-133: Audits of States, Local Governments, and Nonprofit Organizations

Tamkeen is required to ensure that all organizations receiving USAID grant funds comply with the guidance found in these circulars, as applicable to the respective terms and conditions of their grant awards. This annex provides grantees with a synopsis of the requirements contained in the three OMB circulars.

Note: This annex's sole purpose is to provide an overview of the circulars. It is not intended or meant to be a definitive reference source for issues concerning regulatory compliance. The definitive reference sources are the OMB circulars. Full text version of the circulars can be found at <http://www.whitehouse.gov/OMB/circulars/a110/a110.html> (or a122 or a133).

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#### OMB Circular A-110

Sets forth standards for the uniform administration of grants to nonprofit organizations. The circular is divided into four subparts. With respect to a Tamkeen grant award and compliance requirements, the grantee should focus on Subpart C, which is subdivided as follows:

- Financial and Program Management
- Property Standards
- Procurement Standards
- Reports and Records
- Terminations and Enforcement

*Financial and Program Management.* This section establishes the following standards:

1. The grantee has the capacity to relate financial data to performance data and develop unit cost information.
2. The grantee's financial management system provides for:
  - a) Accurate, current, and complete disclosure of financial results
  - b) Records that adequately identify the source and application of funds
  - c) Effective control over and accountability for all funds, property, and other assets
  - d) Comparison of outlays with budget amounts
  - e) Written procedures for determining reasonableness, allocability, and allowability
  - f) Accounting records that are supported by source documentation

*Property Management.* This section establishes the following standards:

1. The grantee's property records are maintained accurately and include specific information such as description of equipment, source, etc.
2. The grantee has a policy and procedure to conduct physical inventory.
3. The grantee safeguards property against loss, damage, or theft.
4. The grantee keeps equipment in good condition.

*Procurement.* This section establishes the following standards:

1. The grantee has written standards of conduct governing the performance of employees engaged in procurement.
2. Grantee policy prohibits an employee from being involved in procurement if a real or apparent conflict of interest is involved.
3. The grantee conducts procurement transactions with open and free competition.
4. Grantee solicitations clearly establish all requirements that a bidder must fulfill.
5. The grantee has written procurement procedures that avoid unnecessary and duplicative purchases, etc.
6. Grantee solicitations provide clear and accurate description of requirements, evaluation criteria, etc.
7. The grantee uses appropriate procurement instruments that promote the best interest of the project.
8. The grantee only contracts with responsible contractors that perform successfully.
9. The grantee performs and documents cost or price analysis.
10. The grantee's procurement records and files are thorough and complete.
11. The grantee maintains a system for contractor administration.
12. Grantee contracts define a sound and complete agreement and contain provisions for legal remedies and/or termination by the grantee.

*Reports and Records.* This section establishes that the grantee's financial management system has the capacity to provide information and prepare timely and accurate reports as required by the award.

*Termination and Enforcement.* This section sets forth uniform termination and enforcement procedures:

- By the awarding agency if a grantee materially fails to comply with the terms and conditions of the award
- By the awarding agency with the consent of the grantee
- By request from the grantee

## OMB Circular A-122

For expenditure under a grant to be allowable, it must meet the criteria of this Circular. Cost principles provide guidance on making determinations.

Allowable costs are:

- Reasonable for the performance of the award
- Allocable
- In conformance with limitations/exclusions in the award
- Consistent with the organization's policies and procedures
- Accorded consistent treatment
- In accordance with generally accepted accounting principles (GAAP) or international accounting standards (IAS)
- Not used to meet other cost-sharing requirements
- Adequately documented
- Reviewed and approved by management

Reasonable costs are:

- Ordinary and necessary
- Processed at arm's length with sound business practices
- Not a significant deviation from an organization's established practices and procedures
- Not in excess of what would be incurred by a prudent person under the prevailing circumstances

Allocable costs are:

- Charged to a cost objective on the basis of relative benefit received
- Incurred specifically for the award and in accordance with the budget in the award agreement or ...
- To the benefit of the award and other work and can be distributed in reasonable proportion in accordance with relative benefit received
- Treated consistently with other costs for the same purpose in like circumstances

Costs are adequately supported by:

- Original legible receipts, vouchers, purchase orders, contracts, delivery orders, timesheets, etc, that fully explain who, when, where, why, how much, etc.

Costs are reviewed and approved in a timely manner by a designated management official with assigned authority and responsibility.

OMB Circular A-122 lists 56 "Selected Items of Cost":

- They are in alphabetical order starting with Advertising and ending with Trustees.
  - All items contain explanatory notes.
  - A cost can be allowable under one condition but unallowable under another condition.
  - To determine allowability, you must read all the notes provided.
-



## OMB Circular A-133

This Circular establishes standards for auditing of states, local governments, and nonprofit organizations expending federal awards, whether they are direct grantees of federal funds or subgrantees expending federal funds received from a pass-through entity. Entities that expend \$300,000 or more per year in federal funds (\$500,000 or more per year for all fiscal years ending after December 31, 2003) must have an audit pursuant to this Circular. An A-133 audit focuses on:

- Understanding and assessing internal controls
- Testing for compliance with laws and regulations
- Determining whether financial statements fairly present the financial position and the results of the grantee's operation in accordance with GAAP or IAS

*Internal Controls.* Such controls safeguard federal funds through the application of:

- GAAP or IAS
- Prudent, sound business practices within the context of the prevailing operational environment

*Compliance.* This involves testing to determine if:

- The grantee is following OMB A-122 and ...
- Applicable local laws, such as labor code and ...
- Contract-specified additional cost-related principles or conditions

*Financial Statements*

- If the internal control structure is working properly and ...
- The grantee is complying with all laws and regulations and ...
- Is faithfully administering the terms and conditions of the award and ...
- GAAP or IAS is being applied and ...
- Management in good faith represents the above ...
- Then the financial statements should fairly present the results of operations

## ANNEX B

## Tamkeen Training Standards

<p><b>1. Tamkeen training is needs-driven, performance-based and results-oriented.</b></p>	<ul style="list-style-type: none"> <li>• Tamkeen training is not an end in itself: Tamkeen training is a means—often among several—for achieving a result that contributes to the Tamkeen project's purpose.</li> <li>• Tamkeen training is performance-based: After training, the trainee can perform a task(s) at a level he/she could not prior to the training.</li> <li>• Tamkeen training addresses training-based problems and recognizes that training will not solve non-training centered problems (e.g., incentive, equipment, or policy problems).</li> <li>• Tamkeen training recognizes the fact that training alone rarely solves performance problems.</li> <li>• Tamkeen training recognizes the difference between organizational performance improvement and trainee performance improvement.</li> <li>• Tamkeen training is demand-driven, not supply-driven.</li> <li>• Tamkeen training is based on a careful analysis of target audience needs.</li> <li>• Tamkeen training needs assessments include all major stakeholders.</li> <li>• Tamkeen training takes into account the expectations of both the trainee and his/her supervisor.</li> </ul>
<p><b>2. Tamkeen training is based on sound design parameters that support the achievement of expected results.</b></p>	<ul style="list-style-type: none"> <li>• Tamkeen training is designed and developed based on the findings of a training needs assessment.</li> <li>• Tamkeen training is designed, developed, and delivered using a structured approach with well-defined and integrated stages, such as the Instructional System Design (ISD) advocated by the American Society for Training and Development (ASTD).</li> <li>• Tamkeen training objectives close performance gaps.</li> <li>• Tamkeen training is defined in terms of knowledge, skills, and attitudes (KSAs) that the trainee must acquire to improve performance.</li> <li>• Tamkeen training recognizes that new KSAs must be compatible with existing habits and values, and only require a reasonable amount of personal change from trainees.</li> <li>• Tamkeen training analyzes and selects the right presentation option (e.g., course or workshop); the right approach (e.g., lecture vs. case studies); and the right sequencing (e.g., lower- to higher-level skills, simple to complex) required to optimize impact in a cost-effective manner.</li> </ul>
<p><b>3. Tamkeen training makes use of a comprehensive set of materials that supports identified objectives and is relevant to the trainees' context.</b></p>	<ul style="list-style-type: none"> <li>• Tamkeen training materials and activities have stated purposes and objectives.</li> <li>• Tamkeen training materials provide all the necessary resources for the trainee and the trainer, as well as for evaluation purposes.</li> <li>• Tamkeen training materials are well-suited to the particular cultural and/or performance context of the trainees.</li> <li>• Tamkeen training materials are well-organized, logically developed, and carefully graded.</li> <li>• Tamkeen training activities encourage a variety of interaction patterns for maximum involvement and benefit on the part of the trainees.</li> </ul>

<p><b>4. Tamkeen training delivery is particularly suited to the learning styles and expectations of adult trainees.</b></p>	<ul style="list-style-type: none"> <li>• Tamkeen training is designed and delivered using adult learning principles.</li> <li>• Tamkeen training recognizes that, from a change management perspective, trainees must be able to see a clear relative advantage (personal payoff) from the training.</li> <li>• Tamkeen training recognizes that the credibility of the trainer is essential to the success of any training activity.</li> <li>• Tamkeen training recognizes that ongoing monitoring contributes to the consistent quality of the training and the achievement of its results.</li> </ul>
<p><b>5. Tamkeen training integrates various levels of evaluation to ensure the achievement of results.</b></p>	<ul style="list-style-type: none"> <li>• Tamkeen training recognizes that trainees perform better when they are satisfied with the training.</li> <li>• Tamkeen training evaluates (measures) the acquisition of KSAs on a pre- and post-training basis.</li> <li>• Tamkeen training recognizes the importance of evaluating post-training application and impact in order to verify the achievement of expected results.</li> </ul>
<p><b>6. Tamkeen training is based on sound project management principles and a clear implementation plan.</b></p>	<ul style="list-style-type: none"> <li>• Tamkeen training is dependent on effective training teams that are carefully selected to perform a given set of tasks over a given period of time.</li> <li>• Tamkeen training recognizes that the qualifications of a subject matter expert, a training specialist, and a trainer are unique to each position.</li> <li>• Tamkeen training embraces the concept of a total training solution in that one organization has overall responsibility for ensuring that all aspects of the delivery—technical, administrative, and logistical—are integrated, sound, and complete.</li> </ul>

## ANNEX C

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### Tamkeen Performance Monitoring Plan Overview

All Tamkeen grantees are required to complete the Grant Vital Statistics form upon completion of each grant. The Tamkeen CSS assigned to each grantee will help with its completion and review the data submitted.

The form is an integral part of Tamkeen's performance monitoring plan (PMP). The PMP is designed to generate data on the overall success of the project to demonstrate the direct benefits of the grants to the Palestinian CSO community. Demonstrating success is a key element in ensuring additional funding for the project and in reviewing its overall achievements.



### Grant Vital Statistics Form

**Grant Number**

This form should be filled out and signed by the CSO representative as an integral part of the grant completion report. In doing so, the CSO is advised to refer to the User's Manual (Section II) for guidance. Further explanations or clarifications will be provided by the grant CSS who will supervise the proper completion of this form.

**CSO Name:**

**CSO Number:**

**Name of CSO Representative:**

**Signature:**

**Date:**

**Tamkeen internal use**

Information reviewed by Tamkeen CSS (Name):

Initials:

Date:

Information entered in PMP spread sheet (Y/N):

Date:

Part One: CSO Information	
CSO Name: .....	
Phone number: ____/____	
Fax number: ____/____	
Number of full-time staff:	
Establishment date: ____/____/____	
Main office location (district): .....	
Email: .....	
Part Two: Grant Information	
Grant number:	<div style="border: 1px solid black; width: 100px; height: 20px;"></div>
Grant starting date: ____/____/____	
Actual grant completion date: ____/____/____	
Did the grantee receive a simplified Tamkeen grant before?  1. Yes      2. No	
Is this a renewal of a previous grant?  1. Yes      2. No	
Part Three: Sub-IR 3.1.1 Increased Capacity of CSOs to Participate in Public Discourse	
Q1. How many grant draft applications were submitted for this grant?	
Q2. Does the grant involve any training activity?  1. Yes      2. No (Skip to Q4)	
Q3. If the answer to the above question is "Yes," was the training designed according to Tamkeen Training Best Practices (TBP)?  1. Yes      2. No	
Q4. Has the CSO applied Tamkeen Training Best Practices in training efforts <b>not funded</b> by a Tamkeen grant (during or after the grant given by Tamkeen)?  1. Yes      2. No	
Q5. Did the number of constituents served by the CSO increase as a result of implementation of the grant? (During or after grant implementation, as compared to before the start of implementation)  1. Yes      2. No (Skip to Q7)	

Q6. If the answer to the above question is "Yes," by what percentage did the number of constituents served by the CSO increase?	
1. None    2. Less than 25 percent    3. 25 to 50 percent    4. More than 50 percent	

<b>Part Four:</b> <b>Sub-IR 3.1.2, CSOs Effectively Aggregate and Articulate Citizen Issues</b>	
Q7. Did the grant involve the use of mechanisms to solicit constituent opinion?  1. Yes                      2. No (skip to Q9)	
Q8. If the answer to the above question is "Yes," how many people were reached through these mechanisms? [Please attach a breakdown, but event, of the number of attendees and/or constituents reached through various mechanisms.]	
Q9. Under the grant, did the CSO address a public issue on behalf of its constituents with a view toward changing governmental policy and/or the actions of government?  1. Yes                      2. No (Skip to Q11)	
Q10. If the answer to the above question was "Yes," did the CSO's actions result in a change in government policy and/or the actions of government (at any level)?  1. Yes                      2. No (Skip to 12)  If the answer to the above question is "Yes," please provide a short description of the actions taken and how the policy or actions of government were changed. Report on a separate sheet of paper if necessary.	

Part Five: Sub-IR 3.1.3 CSOs Effectively Disseminate Information to Citizens on Public Issues			
Q11. Does the grant involve information dissemination activities?			
1. Yes                      2. No			
Q12. If the answer to the above question is "Yes," record below the frequency of each mechanism, the number of hours, and the number of people reached.			
Information Dissemination Mechanisms	Frequency	# of Hours	# of People
1. Structured forums: seminars, symposia, workshops, panel discussions, interviews, focus groups			
2. Public forums: town hall and other similar meetings			
3. Publications: reports, books, newsletters, brochures, etc			
4. Drama: theater, story telling, films			
5. Others: Specify.			
a. .....			
b. .....			
c. .....			
Q13. Did the CSO use radio to disseminate information?			
1. Yes                      2. No (Skip to Q15)			
Q14. If the answer to the above question is "Yes," how much airtime was used (number of minutes)?			
Q15. Did the CSO use television disseminate information?			
1. Yes                      2. No			
Q16. If the answer to the above question is "Yes," how much airtime was used (number of minutes)?			



## Grant Vital Statistics Form: User's Manual

Part One: CSO Information
<p>Name of CSO:</p> <p>This is the official name, in Arabic or English, which appears in the registration documents or the CSO's formal business transactions. A code number, unique to each CSO, will be added by the Tamkeen staff.</p>
<p>Phone number:</p> <p>Enter one telephone number, preferably the one used most frequently.</p>
<p>Number of full-time staff:</p> <p>This is the number of full-time salaried staff <b>on the day the grant contract was signed</b>, prior to hiring staff to conduct activities funded under the grant.</p>
<p>Establishment date:</p> <p>This is the date on which the organization had its first registration as a civil society organization regardless of the registering authority. It is not necessarily the date the CSO was registered according to the new Palestinian NGO laws.</p>
<p>Main office location (district):</p> <p>Write down the name of the official Palestinian district in which the CSO has its main office (as opposed to satellite offices). Tamkeen will provide a code number that corresponds to the districts.</p>
Part Two: Grant Information
<p>Grant number:</p> <p>This is Tamkeen's official number for the grant. Tamkeen can add this information if it is not known by the CSO.</p>
<p>Grant starting date:</p> <p>This is the start date for the grant as specified in the contract.</p>



<p>Actual completion date:</p> <p>This is the actual date on which all grant activities were completed, as opposed to the date specified in the contract.</p>
<p>Did the grantee receive a simplified grant before?</p> <p>Has the grantee received another grant from Tamkeen previously for a different project?</p>
<p>Is this a renewal of a previous grant?</p> <p>This question asks whether the grant is a renewal of a previous grant, in accordance with Tamkeen's definition of renewal.</p>

<p><b>Part Three: Sub-IR 3.1.1</b> <b>Increased Capacity of CSO to Participate in Public Discourse</b></p>
<p>Q1. How many grant draft applications were submitted for this grant?</p> <p>How many distinct versions of the grant application were submitted by the CSO? One should not count minor changes and editorial modifications as a "distinct" version; only versions reflecting substantive changes should be counted.</p>
<p>Q2. Does the grant involve any training activity?</p> <p>This refers to structured training activities included in the grant proposal and specified as such. Training activities should be distinguished from awareness raising activities and other activities designed to convey information. CSOs with questions on what constitutes a training activity should consult Tamkeen.</p>
<p>Q3. Was the training designed according to Tamkeen Training Best Practices?</p> <p>Were the training activities designed with the five elements of Tamkeen's Training Best Practices? In accordance with Tamkeen's procedures, this should have been ascertained by the CSO and Tamkeen at the time the grant was proposed.</p>
<p>Q4. Has the CSO applied Tamkeen Training Best Practices in training efforts <b>not funded</b> by Tamkeen (during or after the grant given by Tamkeen)?</p> <p>This question asks the CSO to report on whether it used the five elements of Tamkeen's Training Best Practices to plan and conduct other training programs during or after the completion of the Tamkeen grant. These are training programs <b>not</b> funded by Tamkeen.</p>
<p>Q5. Did the number of constituents served by the CSO increase as a result of the grant?</p> <p>In the course of implementing the grant, did the CSO reach new target populations that it previously did not serve, thus increasing its influence in the community. In other words, was the number of constituents served by the CSO higher during and after grant implementation than before activities were initiated?</p>
<p>Q6. By what percentage did the number of constituents served by the CSO increase?</p> <p>The CSO should approximate the extent to which the population it serves increased as a result of grant implementation. Therefore, the CSO should take the approximate number of people it served <i>during the grant</i> minus the number it served <i>before the grant</i>. Then take the result and <i>divide by the number served before the grant</i> times 100 to yield a percentage.</p> <p>The Tamkeen CSS may request additional information on this question to verify the response.</p>

**Part Four: Sub-IR 3.1.2**  
**CSOs Effectively Aggregate and Articulate Citizen Issues**

Q6. Does the grant involve the use of mechanisms to solicit constituent opinion? (see Q8 below)

“Mechanisms to solicit constituent opinion” are those mechanisms used to elicit input from the community (in a consultative way) on the issue(s) of concern under the particular grant. These mechanisms should be specifically designated as such in the grant proposal and not be “side benefits” of other activities. For example, a typical mechanism of this sort would be a workshop for students to identify problems affecting youth and propose solutions that will be used later in advocacy activities. Questions on what constitutes a such a mechanism should be referred to Tamkeen.

Q7. If the answer to the above question is “Yes,” how many people were reached through these mechanisms?

In responding to this question, the CSO should estimate the number of people reached directly through these mechanisms using its records of meeting, workshops, and other events conducted under the grant. The CSO should supply documentation on these events to the Tamkeen CSS, allowing him or her to verify the results.

Q8. Under the grant, did the CSO address a public issue on behalf of its constituents with a view toward changing governmental policy and/or the actions of government?

The issues addressed could be major, like changes to national laws, or minor, like repairs to a road. The most important factor is whether the CSO targeted an issue of interest to its constituents with a view toward changing government policy and/or actions. The target of these efforts can be any level of government – national, regional (the governorate), or municipal.

Q9. If the answer to the above question was “Yes,” did the CSO’s actions result in a change in government policy and/or the actions of government?

A change in government policy and/or actions must be substantive and non-trivial in the judgment of the CSO, in discussions with the Tamkeen CSS. Changes could be as simple as getting police officers to take sign language courses in response to advocacy activities conducted by the hearing impaired, and as substantive as the implementation of new by-laws protecting the rights of the disabled. To count, these changes must result, at least in part, from the actions of the CSO and its constituents under the grant, but Tamkeen realizes that some changes result from the actions of multiple actors. It also realizes that the timeframes for many grants and complexity of the issues addresses precludes some grants from changing government policies.

If the answer to the above question is “Yes,” the CSOs should provide a short description of the policy or government action that was changed, and how this was achieved through the CSO’s actions under the grant. This description could be included in the space provided or on a separate piece of paper if it is more convenient. The responses will be reviewed by the Tamkeen CSS.

**Part Five: Sub-IR 3.1.3**  
**CSOs Effectively Disseminate Information to Citizens on Public Issues**

Q10. Does the grant involve information dissemination activities?

An activity is identified as an information dissemination activity if it is explicitly articulated as such in the grant application. Therefore, the existence of such activities should be apparent at the grant proposal stage. To count in this category, an activity must be specifically designed to disseminate information; the information dissemination aspect cannot be a mere off-shoot or secondary effect of some other activity. Publications and public presentations (such as in a town hall meeting or workshop) are good examples of such activities.

Q11. If the answer to the above question is “Yes,” then record below the frequency of each mechanism, the number of hours, and the number of people involved.

This information should be collected by the CSO over the course of the grant and documentation should be provided to the Tamkeen CSS, allowing them to verify the results.

“Frequency” is the number of different publications produced or events conducted. For example, if two town hall meetings are conducted, the result is 2; and if 10 different brochures are produced, the answer is 10.

“Number of hours” is only valid for events like town hall meetings and workshops. This question should be left blank in the case of publications. It is the total number of hours. Therefore, if two, two hour meetings were held, the total number of hours is four.

“Number of people” is the number of attendees in the case of meetings and workshops and exact number of copies distributed in the case of publications. Secondary readers of publications should not be counted. In the case of both events and publications, this question allows for double counting of the same person. For example, someone who attended a meeting and also received a publication would be counted in both areas. As with hours, this is the total number of people. Therefore, if 10 people attend one meeting and then 10 another meeting, the total number is 20.

In the “other” category, record additional activities that do not fall under the categories listed. Whether a particular activity is appropriate for inclusion here can be discussed with the Tamkeen CSS.

#### Q12-16. Radio and television

These questions specifically look to identify information dissemination using the mass media, either television or radio. Because airtime is the most common way of tabulating such activities, it is recorded separately from the “information dissemination mechanisms” listed in Question 11.

**ANNEX D****Sample USAID Vetting Form****Information About Proposed Activities**

The information requested below must be submitted to USAID with respect to: (a) each proposed grant or subgrant to a non-U.S. organization or individual, and (b) each proposed contract or subcontract in excess of \$25,000 with a non-U.S. organization or individual. No award may be made until USAID has provided written approval therefore.

1. Name of the prime contractor, grantee or recipient proposing the award: \_\_\_\_\_
2. Type of proposed award or other assistance (check one)  
       \_\_\_\_\_contract \_\_\_\_\_subcontract \_\_\_\_\_grant \_\_\_\_\_subgrant
3. Dollar amount and duration of proposed award: \_\_\_\_\_
4. Purpose of proposed award or assistance: \_\_\_\_\_
5. Organization (if any) proposed to receive award or other assistance:
  - a. Name: \_\_\_\_\_
  - b. Address: \_\_\_\_\_
  - c. Telephone: \_\_\_\_\_ d. Fax: \_\_\_\_\_
  - e. Brief statement of proposed awardee's mandate: \_\_\_\_\_
6. Full four-part name of each individual to receive training or other direct benefits or full name and title of each "key individual" (as defined below) of the organization named in 5 above:
  - a. \_\_\_\_\_
  - b. \_\_\_\_\_
  - c. \_\_\_\_\_
  - d. \_\_\_\_\_
  - e. \_\_\_\_\_
  - f. \_\_\_\_\_
  - g. \_\_\_\_\_
  - h. \_\_\_\_\_
  - i. \_\_\_\_\_
  - j. \_\_\_\_\_

"Key individual" means: (a) the program manager or chief of party for the USAID-financed program; (b) the principal officer and deputy principal officer of the organization (e.g., executive director, deputy director, president, vice president); (c) principal officers of the organization's governing body (e.g., chairman, vice chairman, treasurer, and secretary of the board of directors or board of trustees); and (d) any other person with significant responsibilities for administration of USAID-financed activities or resources.

**ANNEX E****Provision Regarding Publications and Media Releases**

USAID Standard Provision 10 applies to publications financed by Tamkeen grants. A copy of the provision as it is applied to Tamkeen-funded grants follows.

**PUBLICATIONS AND MEDIA RELEASES (JUNE 1999)**

(a) USAID shall be prominently acknowledged in all publications, videos, or other information/media products funded or partially funded through this award, and the product shall state that the views expressed by the author(s) do not necessarily reflect those of USAID. Acknowledgments should identify the sponsoring USAID Office and Bureau or Mission as well as the U.S. Agency for International Development substantially as follows:

"This [publication, video or other information/media product (specify)] was made possible through support provided by the U.S. Agency for International Development/West Bank and Gaza, under the terms of Contract No. 294-C-00-00-00077-00. The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the U.S. Agency for International Development."

(b) Unless the recipient is instructed otherwise by Tamkeen, publications, videos, or other information/media products funded under this award and intended for general readership or other general use will be marked with the USAID logo and/or U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT appearing either at the top or at the bottom of the front cover or, if more suitable, on the first inside title page for printed products, and in equivalent appropriate location in videos or other information/media products. Logos and markings of co-sponsors or authorizing institutions should be similarly located and of similar size and appearance.

(c) The recipient shall provide Tamkeen one hard copy of all published works developed under the award. In addition, the recipient shall provide Tamkeen with one electronic copy of final documents, which Tamkeen will file with the USAID Development Experience Clearinghouse (DEC). Electronic documents may be submitted on 3.5" diskettes or as e-mail attachments, and should consist of only one electronic file that comprises the complete and final equivalent of the paper copy; otherwise, a hard copy should be sent. Acceptable software formats for electronic documents include Microsoft Word, WordPerfect, Microsoft Excel and Portable Document Format (PDF).

(d) In the event award funds are used to underwrite the cost of publishing, in lieu of the publisher assuming this cost as is the normal practice, any profits or royalties up to the amount of such cost shall be credited to the award unless the schedule of the award has identified the profits or royalties as program income.

(e) Except as otherwise provided in the terms and conditions of the award, the author or the recipient is free to copyright any books, publications, or other copyrightable materials developed in the course of or under this award, but USAID reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use the work for Government purposes.

(END OF STANDARD PROVISION)

## ANNEX F

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### Certification Regarding Terrorist Financing Implementing E.O. 13224

USAID requires that recipients sign the certification below as a prerequisite to receiving a grant from a U.S. Government source. This applies to CSOs receiving grants from Tamkeen.

#### **CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING E.O. 13224**

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient has not provided, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts.

2. Specifically, in order to comply with its obligations under paragraph 1, the Recipient will take the following steps:

- a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not appear (i) on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) on any supplementary list of prohibited individuals or entities that may be provided by USAID to the Recipient.

The Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

- b. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware or that is available to the public.
- c. The Recipient will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

- a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.
- b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

**APPLICANT:**

Name: \_\_\_\_\_ Signature: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

**ANNEX G**

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## Certification Regarding Lobbying

USAID requires that recipients sign the certification below as a prerequisite to receiving a grant from a U.S. Government source. This applies to CSOs receiving grants from Tamkeen.

### **CERTIFICATION REGARDING LOBBYING**

#### **Certification for Contracts, Grants, Loans, and Cooperative Agreements**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### **APPLICANT:**

Title: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_ Signature: \_\_\_\_\_



**ANNEX H**

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**Certification Regarding Recipient Compliance**

USAID requires that recipients sign the certification below as a prerequisite to receiving a grant from a U.S. Government source. This applies to CSOs receiving grants from Tamkeen.

**RECIPIENT CERTIFICATE OF COMPLIANCE**

To: Director of Finance and Administration  
Tamkeen

I, \_\_\_\_\_, \_\_\_\_\_, as a legally authorized  
Name (Printed or Typed) Title  
representative of \_\_\_\_\_  
Organization Name

do hereby certify that, to the best of my knowledge and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel and procurement under this agreement and I further certify that the organization is in compliance with those requirements.

I, we, understand that a false, or intentionally misleading, certification could be the cause for possible actions ranging from being found not responsible for this award to suspension or debarment of this organization in accordance with the provisions of USAID Regulation 8.

I, we, further agree to instruct the accounting firm that this organization retains to perform its annual audits, as required by OMB Circular A-133, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-133 audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Type or Print Name

\_\_\_\_\_  
Position Title

\_\_\_\_\_  
Date of Execution

## ANNEX I

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### Foreign Tax Reporting

In accordance with Section 579 of the FY 2003 Foreign Operations Appropriation Act, the grantee must track and maintain information related to the payment of foreign taxes assessed by the Palestinian Authority on commodity purchase transactions valued at \$500 or more financed with US foreign assistance funds. This information will be collected by Tamkeen from each grantee in accordance with the schedule and conditions set forth below. Further information can be found at <http://www.state.gov/m/rm/c10443.htm>.

(a) Interim and final reports: The grantee must annually submit two reports, in concurrence with the US Government fiscal year (October 1 – September 30), as follows:

- i. An interim report by November 17; and
- ii. A final, cumulative report by April 16 of the next year;

(b) Content of Report: The reports must be provided in the format provided by Tamkeen to each grantee at the time of each report submission and will include the following:

- i. Grantee name.
- ii. Contact name with phone, fax, and email.
- iii. Grant number
- iv. Amount of foreign taxes assessed by the Palestinian Authority on commodity purchase transactions valued at \$500 or more, financed under the grant agreement during the prior U.S. fiscal year;
- v. Only foreign taxes assessed by the Palestinian Authority, the foreign government receiving US assistance, is to be reported. Foreign taxes by a third party foreign government (i.e. Israel) are not to be reported.
- vi. Any reimbursement received by the grantee from the Palestinian Authority during the reporting period must be reflected.
- vii. Reports are required even if the grantee did not pay any taxes during the reporting period.
- viii. The final report is an updated cumulative report of the interim report.

(c) Definitions: For the purposes of this report:

- i. “Commodity” means any material, article, supply, goods, or equipment.
- ii. “Foreign taxes” means value-added taxes and customs duties assessed by the Palestinian Authority on a commodity. It does not include sales taxes.